

**Role, Scope, Criteria, Standards and Procedures
of the
Department of Plant Sciences and Plant Pathology
College of Agriculture
Montana State University-Bozeman**

Approvals

Signature

Date

Department Faculty

Department Head

College P&T Committee

College Dean

University P&T Committee

Provost

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 ROLE AND SCOPE

112.1 Role and Scope of the College.

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As the flagship college for Montana's land grant university, the College of Agriculture provides unique educational and research programs in the biological, chemical, physical, and social sciences. The College of Agriculture originated in 1893 with the establishment of the "Agricultural College of the State of Montana" when the Montana Legislature accepted the terms of the Morrill Act of 1862. This Act provided land grants to each state to support the establishment of such colleges. The Legislature also accepted the Hatch Act of 1887 that provided financial support for the establishment of an agricultural experiment station in each state. The mission of the Agricultural Experiment Station established by state statute is "to conduct and promote studies, scientific investigations and experiments relating to agriculture, natural resources and rural life and to diffuse information thereby acquired among the people of Montana." The Smith-Leaver Act of 1914 established the Extension Service whose mission is to provide instruction and practical demonstrations in

agriculture related subjects.

- The College and the Agricultural Experiment Station are administered by the Dean of the College of Agriculture who also carries the title of Director of the Agricultural Experiment Station. The College has seven departments:
 - Agricultural Economics and Economics Department
 - Animal and Range Sciences Department
 - Entomology Department
 - Department of Plant Sciences and Plant Pathology
 - Land Resources and Environmental Sciences Department
 - Veterinary Molecular Biology Laboratory
 - Research Centers
- There is a common goal for all educational programs in the College. Undergraduates focus on departmental curricula and develop an awareness and appreciation of the environment, citizenship skills and curiosity, and skills to become lifelong learners. Graduate students, the professionals and scientists of tomorrow, challenge current boundaries to the body of knowledge and demand an environment that promotes the pursuit of curiosity. Off-campus students, not enrolled in degree programs, want further development of their problem solving and lifelong learning skills through extension and outreach programs.
- The mission of the Agricultural Experiment Station is to conduct and promote studies and scientific investigations relating to agriculture, natural resources, and rural life and to transfer this information to the people of Montana. The Agricultural Experiment Station participates in regional and national research programs in concert with the United States Department of Agriculture.
- Research is conducted at laboratory facilities, the Plant Growth Center, field facilities on the MSU-Bozeman campus, and at agricultural research centers throughout the state. Faculty may also conduct research on private and government lands.
- Through faculty research and scholarly activity, the College provides educational programs to develop and enhance the ability to apply rules of logic, the principles, methods and results of science to problem solving and decision-making. Funding for programs in the College comes from three traditional sources: the resident instruction budget of Montana State University, the budget of the Montana Agricultural Experiment Station and the budget of the MSU Extension Service. Faculty secure additional funding through grants, contacts and cooperative agreements.

- **112.2 Role and Scope of the Department**
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- The Department of Plant Sciences and Plant Pathology at Montana State University-Bozeman has three missions: (i) science-based undergraduate, graduate, and Extension education, (ii) research/creative activity, and (iii) outreach/service. Departmental programs develop and promote an understanding of the biology of plants and associated microbes from the molecular to the population level, and of the processes and interactions

involved in plant-based biological systems. *These programs include the investigation of plant and fungal structure, function, genetics and adaptation;* the development and dissemination of management principles relating to the control of plant diseases; the production of food, fiber and ornamental plants; and the efficacious and aesthetic use of plants in the environment. Primary emphasis is placed upon the study of crop and ornamental plants and plant pathogenic and other associated microbes of importance to the state, nation and world.

- The education mission of the department includes on-campus instruction providing undergraduate and graduate programs of study that impart an understanding of fundamental concepts in plant biology in both natural and agricultural ecosystems. The primary focus is to prepare students to apply scientific knowledge to plant and plant-associated microbial systems associated with agronomic and horticultural plant production and care. These programs lead to B.S., M.S., and Ph.D. degrees that prepare students for careers in agriculture, horticulture, biotechnology and research. Montana State University has the sole responsibility for graduate training in plant pathology and breeding of agronomic crops in the state. Extension instructional programs provide research-based information, technological developments, and basic education to participants in Montana's agricultural and horticultural industries, homeowners and natural resource professionals.
- The research/creative activity mission of the Department of Plant Sciences and Plant Pathology is to enhance basic and applied knowledge of plant and plant-associated microbial systems. Research projects funded through the Montana Agricultural Experiment Station (MAES) focus on improving competitiveness, profitability and sustainability of Montana's agronomic and horticultural industries and natural resources. Research and scholarly activities that are useful in their applications to problems and choices facing the citizens of Montana are emphasized. In addition, grants and contracts are solicited from sources outside MAES to support research or scholarly creative activities involving both applied and basic aspects of plant biology. Local, regional, national, and international issues and interests are addressed using a broad spectrum of approaches ranging from use of model laboratory systems to field research as well as application of biotechnological and molecular techniques to traditional plant protection and improvement strategies. Critical to the research/creative activity mission is the dissemination of experimental results or creative activities to researchers, professionals, policy-makers and others to increase the positive scientific, social, environmental, and economic impacts of the department. Faculty and students cooperate with faculty at the seven MAES Research Centers, farmers, ranchers, participants in private industries and state and federal agencies located in various parts of the state and other academic departments at MSU-Bozeman.

- All Department of Plant Sciences and Plant Pathology faculty participate in outreach/ service activities of use to the general public, agricultural and natural resource land users, federal, state and local agencies, and professional organizations. Faculty service also includes activities involving departmental, college, and university committees or other assigned activities. All functions of the department provide service to local, state, national and international clientele.

113 ACADEMIC PROGRAMS

113.1 Academic Programs of the College

Department of Plant Sciences and Plant Pathology

Baccalaureate Degrees:

I. B.S.

A. Horticulture, with options in Horticulture Science, Landscape Design, and Turfgrass Science.

B. Plant Science, with options in Crop Science and Plant Biology.

C. Biotechnology (Plant option)

II. M. S.

A. Plant Pathology

B. Plant Science

III. Ph.D.

Plant Science, with options in Plant Pathology and Plant Genetics

113.2 Academic Programs of the Department

Detailed in 113.1.

114.1 Special Areas of College Research and Creative Activity

1. Develop research-based solutions for the myriad agricultural challenges facing Montana.
2. Conduct research programs that develop improved understanding of the physical, biological and economic principles of production and consumption of goods and services.
3. Enhance knowledge of social and economic impacts of alternate production activities and policies related to use and management of the human and natural resource base.
4. Disseminate scientific results to other researchers and the community at large.
5. Generation of basic knowledge regarding plants and animals and associated microbes.

114.2 Special Areas of Department Research and Creative Activity

Research programs are conducted in molecular and conventional approaches to understanding plant and fungal biology and plant pathology. Departmental programs have strengths in crop improvement (particularly grasses and legumes), basic plant biology (including biochemistry, physiology, genetics and evolution), pathology of cereal grains, potato and sugar beet, integrated management and biological control of plant pathogens, horticulture, mycology and plant virology.

115 OUTREACH/ SERVICE

115.1 Special Areas of College Outreach/Public Service

Provide an educational resource to improve the quality of people's lives by disseminating research-based knowledge to strengthen the social, economic and environmental well-being of Montana's people, communities and agricultural enterprises and sustain their economic status and quality of life.

115.2 Special Areas of Department Outreach/ Service

The Department will act as an educational resource to improve the quality of people's lives by disseminating research-based knowledge to strengthen the social, economic and environmental well-being of Montana's people, communities and agricultural enterprises and sustain their

economic status and quality of life. Extension instructional programs provide research-based information, technological developments, and basic education to Montana's agricultural and horticultural industries, homeowners and natural resource professionals to enhance competitiveness, profitability and sustainability. Outreach is primarily accomplished through the MSU Extension Service or through workshops, seminars, symposia, electronic and print media. Outreach and service reflect the special interests and assignments of the faculty.

In fulfilling the Land Grant Mission of the University, the Department of Plant Sciences and Plant Pathology faculty applies their knowledge, insight, abilities and findings to benefit Montanans and the entire nation. The faculty takes great pride in stimulating students of all ages relative to the importance and application of science in today's world. The department provides plant disease diagnostic services, plant identification, mushroom and other fungal identification and plant pathogenic nematode analysis to the general public

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]

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

The College of Agriculture expects instructional faculty to contribute to the general education of Montana State University-Bozeman students, to the educational experience of students majoring in the many central disciplines of the College and where appropriate, to the graduate programs of students pursuing post-baccalaureate degrees. In addition to the university teaching criteria above, the College recognizes other faculty contributions, such as participation in the university core, the honors program, direction of independent study, undergraduate research and graduate research, and advising of undergraduate and graduate students. Teaching in the College of Agriculture is conducted in both resident and non-resident settings as well as in non-traditional settings, including distance education via interactive video or computer-based systems, various presentations throughout the state, workshops and field days. Departments will develop appropriate evaluation criteria to assess quality of instruction and quality of advising subject to approval of the College and University Promotion and Tenure Committee.

211.3 Department Teaching Criteria

Faculty with on- and off-campus instructional expectations will advance the teaching missions of the Department of Plant Sciences and Plant Pathology. Faculty may contribute to teaching by instruction in department courses, instruction in university courses in an appropriate area of expertise, participation in the honors program or independent study, research at both graduate and undergraduate levels and advising students at all levels. Criteria to be evaluated include, as appropriate: quality of student and clientele instruction; creation/revisions of curriculum programs (new innovations, strategies); numbers of undergraduate and graduate students advised; participation in internships, special projects, independent study, undergraduate/graduate research, graduate committees, the honors program and development and implementation of new teaching or delivery methods.

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

Faculty in the College of Agriculture are expected to conduct quality research programs and publish their research findings in peer-reviewed publications. In addition, faculty are expected to secure competitive funding at levels appropriate to their disciplines. Faculty with Montana Agricultural Experiment Station appointments are expected to conduct research relevant to Montana.

212.3 Department Research Criteria

Faculty in the Department of Plant Sciences and Plant Pathology are expected to participate in the Department's mission of research and creative activity. Publication of refereed journal papers, receipt of extramural funding, non-refereed articles, monographs, book chapters, books and participation in seminars and meetings, invited presentations, peer panel activity, and participation in international, national or regional research committees are criteria to be evaluated for

participation in research and creative activities. Scholarship that addresses innovative methods of teaching/research is considered research/creative activity.

213 OUTREACH/ 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

College of Agriculture faculty are expected to be involved in outreach and professional service, at levels appropriate to their disciplines and appointment.

213.3 Department Criteria

Outreach/ service is accomplished at the professional level through membership on regional/national/professional society committees, peer reviewing for journals and/or granting agencies, at the public level through advisory activity or education to individual clientele or groups, participation on committees or boards utilizing professional expertise, and at the university level through committee membership and participation in university functions. Criteria for evaluation of service and outreach will include: content and objectives of service efforts and effectiveness of outreach/service efforts. Citizenship activities (service clubs, coaching, etc.) are not considered part of the promotion and tenure process.

"Effectiveness" means meeting or exceeding the standards of the department and college, discipline or profession as appropriate for the individual's assignment. "Excellence" means achieving substantial recognition from students, clients, colleagues, and/or peers in the profession, appropriate to the activity. [FH 602.00]

220 GENERAL UNIVERSITY STANDARDS

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

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 promise of 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]

220.1 a. General College Standards for Instructional Faculty

For retention, tenure, or promotion, a faculty member must demonstrate effectiveness in all areas of the candidate's assignment: teaching, research/creative activity, and service. Teaching and research/creative activity are considered to be of primary and equal importance. Service, however, is also an important feature of every faculty member's role. Candidates for tenure and promotion to Associate Professor also must demonstrate the potential for excellence in either teaching or research/creative activity. Candidates for promotion to Full Professor must demonstrate a sustained record of excellence in teaching and research/creative activity.

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

221.1 University Standard of Effectiveness in Teaching

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

221.2 College Standard(s) of Effectiveness in Teaching

Faculty performance in teaching will be judged effective if it meets or exceeds the standards of the candidate's department. The departmental standards must be approved by both the college and university promotion and tenure committees.

221.3 Department Standard(s) of Effectiveness in Teaching

On- and/or off-campus instruction will be judged effective if, based upon the criteria of Section 211.3, it is substantial, and of consistent high quality as determined by student achievement, supportive peer and learner evaluation of instruction, and advising success.

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

Faculty performance in research/creative activity will be judged effective if it meets or exceeds the standards of the candidate's department. The departmental standards must be approved by both the college and university promotion and tenure committees.

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

A faculty member is, and should be, a scholar who keeps abreast of developments in and contributes to his or her own professional field. Research/Creative activity of faculty will be deemed effective if, based upon the criteria of Section 212.3, the candidates performance

approximates or exceeds the average of faculty with similar expectations in the department and peer institutions.

223 EFFECTIVENESS IN OUTREACH/ SERVICE

223.1 University Standard of Effectiveness in Outreach/ 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 Standard(s) 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. Departmental standards must be approved by both the college and university promotion and tenure committees.

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

Department faculty are expected to participate in outreach and service in the professional, public and University arena. Outreach/ service will be judged effective if, based upon the criteria of Section 213.3, it is appropriate to the appointment in terms of amount and the quality.

230 STANDARDS OF EXCELLENCE

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

Given the diverse venues and types of teaching conducted by College of Agriculture faculty, performance in teaching will be judged excellent if there is substantial recognition through an appropriate departmental and college approved evaluation instrument, including peer and colleague

evaluations. Teaching may also be judged excellent if there is evidence of success in mentoring graduate students.

231.3 Department Standard(s) of Excellence in Teaching

Faculty performance in teaching will be judged excellent if it meets departmental standards of effectiveness and meets the university and college standards of excellence, plus demonstrating innovation and through recognition of excellence such as awards from clientele, peers or students. Continual assessment and revision of courses is also evidence of excellence.

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

Faculty performance in research/creative activity will be judged excellent if there is evidence of a focused and sustained research program that has resulted in professional recognition, peer-reviewed publications and in securing external funding, at levels that exceed the average of faculty with similar expectations in the Department or at peer institutions.

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

Faculty performance in research/creative activity will be judged excellent by meeting departmental standards for effectiveness and meeting the university and college standards of excellence plus having achieved recognition resulting in participation in review panels, proposal reviews, invited presentations, symposia and through recognition from clientele and peers.

233 EXCELLENCE IN OUTREACH/ SERVICE

233.1 University Standards of Excellence in Outreach/ 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

Faculty performance in outreach/ service will be judged excellent if there is evidence of appropriate recognition according to the standards developed by the department.

233.3 Department Standards of Excellence in Outreach/ Service

Faculty performance in outreach/ service will be judged excellent by meeting departmental standards for effectiveness and receiving substantial recognition by colleagues and peers outside the University such as to election to professional offices, appointment to state, regional, national committees or serving as an editor for professional journals.

240.1 DEMONSTRATION OF EFFECTIVENESS AND EXCELLENCE

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

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

241 DEMONSTRATION OF EFFECTIVENESS AND EXCELLENCE IN TEACHING

241.1 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

Departments will establish the methods for in-depth assessment of teaching performance. Methods for assessing teaching performance will take into account the diversity of on-campus and off-campus teaching conducted by College of Agriculture faculty.

241.3 Department Policies and Procedures

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

- A. On-campus instruction faculty will provide a listing of courses taught, course titles, credits, enrollment, and contact hours for all courses.
- B. Off-campus instruction faculty will describe major educational programs delivered including title, number of participants, program impact, and contact hours.
- C. Learning objectives, methods of delivery, and innovative features of educational programs and on-campus instruction advising activities will be summarized.
- D. Student evaluations (University approved) and clientele (University approved) evaluations must address the quality of instruction and applicability of the instruction to increasing fundamental knowledge and its applications to problem solving.
- E. Evaluations of teaching performance by colleagues and the Department Head are required. An evaluation by the Associate Dean is also recommended.
- F. The amount of advising must be documented by the faculty member. The Department Head will summarize written student exit interviews and will conduct broad discussions in exit interviews to evaluate the quality of the undergraduate or graduate experience.
- G. Teaching awards, grants, and student awards are considered.

The evaluation conducted by the departmental Promotion and Tenure Committee should pay due attention to the variety of demands placed on instructors by the types of teaching called

for in various disciplines and at various levels. The total teaching performance of the candidate should be considered with proper reference to assigned teaching responsibilities. The evaluation should clearly indicate the sources of evidence on which its appraisal of teaching effectiveness or excellence has been based. Evaluations of relative teaching success should be made by comparisons of courses at the same levels and with relatively similar enrollments, i.e., large freshman level courses should not be compared with upper division courses with different enrollments.

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 judgement, represents their best efforts to advance the discipline or profession.

[FH 633.03]

242.2 College Policies and Procedures

Departments will establish the methods for in-depth assessment of performance in research/creative activity. Assessments by a minimum of three external reviewers must be included for promotion and tenure evaluations. External reviewers are scientists from outside Montana capable of critically evaluating the quality of the candidates research/creative activity.

242.3 Department Policies and Procedures

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

- A. Candidates should indicate in the vita all written publications, innovative materials, invited and other presentations, and extramural funding support.
- B. External reviews are required for tenure and promotion to Associate or Full

Professor (see Section 415.3).

- C. For Retention Review, the Department Head may select one or more internal reviewers not on the departmental Promotion and Tenure Committee (see section 415.4). Internal reviews are not permitted for Promotion or Tenure Reviews.

243 DEMONSTRATION OF EFFECTIVENESS AND EXCELLENCE IN OUTREACH/ 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 judgement, represents their best efforts to contribute to and advance the University, public, and profession. [FH 633.03]

243.2 College Policies and Procedures

Departments will establish the methods for in-depth assessment of performance in outreach/ service.

243.3 Department Policies and Procedures

The candidate's report should describe the candidate's professional service activities to the University, the profession, and the people of the state of Montana. Information about committee assignments, offices held, editing duties, service to professional organizations, outreach, and other professional tasks relevant to the candidate's defined role should be provided. Results of any feedback should be reported. If appropriate the departmental report should provide some context for interpreting the outreach/service activities related to the past and present role of the university and the department. Review of service will be conducted internally and by external reviewers. Guidelines for the solicitation of reviewers are the same as for teaching and research/creativity.

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
- F. 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 standards for retention 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.

310.3 Department Standards for Retention

To meet Department standards for retention, the candidate must:

- A. Demonstrate progress in undergraduate and/or graduate instruction (when assigned teaching FTE), be active in improving the quality of education offered in the department, or show competence in planning and executing extension education programs (when assigned extension FTE). Serve as a student advisor (either graduate or undergraduate), committee member, and/or provide other services to the department.
- B. Demonstrate progress in planning and conducting a successful research/creative activity program, including MAES project relevant to college goals if the candidate holds an MAES appointment.
- C. Demonstrate progress toward developing manuscripts for publications in referred journals and other appropriate publications.
- D. Demonstrate involvement in service areas.

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

College Tenure Standards are the same as the University Tenure Standards.

C. Department Standards

For the tenure review, the candidate must:

1. Demonstrate sustained effectiveness in undergraduate and/or graduate instruction (when assigned teaching FTE) and contribute to the goals of improving the quality of education offered in the department or show competence to plan and execute extension education programs (when assigned extension FTE). Serve as a student advisor (undergraduate and/or graduate), committee member, and/or provide other instructional services to the department.
2. Engage in and demonstrate sustained effectiveness in planning and conducting a successful research/creative activity program, including an MAES project if the candidate hold an MAES appointment. Evidence of success of individually obtaining extramural funding in support of the candidates research/creative activity program.
3. Demonstrate scholarly productivity through publication in refereed journals and other appropriate publications.
4. Make major contributions to department and institutional goals and programs and show promise for excellence. There should be clear evidence of promise that the candidate will have positive regional and national recognition in their professional area.

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

Not Applicable.

C. Department Standards

Not Applicable.

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

College Standards are the same as the University Standards.

C. Department Standards

Plant Sciences Standards are the same as the University Standards.

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

Not applicable.

C. Department Standards

Not applicable.

332 STANDARDS FOR APPOINTMENT AND PROMOTION TO THE RANK OF

ASSOCIATE PROFESSOR

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

[FH 662.00]

332.1 Standards for Faculty with Instructional Expectations

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

Faculty seeking promotion to Associate Professor shall have developed an effective teaching program and a focused research program that has resulted in peer-reviewed publications and shows promise of continued productivity.

C. Department Standards

Standards for Promotion are as presented in Tenure Standards.

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

Not applicable

C. Department Standards

Not applicable

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

Faculty seeking promotion to Professor shall have a record of demonstrated effectiveness in teaching and a focused research program with a record of sustained productivity, documented by peer-reviewed publications and success in securing external funding at levels appropriate to their discipline.

C. Department Standards

For the Full Professor promotion, the candidate must:

1. Demonstrate continuous effectiveness in on- and/or off-campus instruction.
2. Demonstrate sustained effectiveness for independent and interdisciplinary research/creative activity programs relevant to College goals. Evidence of independent success in obtaining extramural funding is required.
3. Demonstrate excellence in one's discipline by demonstrating outstanding initiative and creativity in developing and executing innovative and expanding programs reaching traditional or nontraditional students and clientele groups.
4. Demonstrate continued leadership in the academic and/or agricultural community through service (i.e., Department, College, Experiment Station, Extension Service, University, state, regional, national).
5. Demonstrate regional and national recognition for excellence and leadership as appropriate to the candidates area of professional expertise.
6. Demonstrate evidence of successfully mentoring young faculty, post-doctoral fellows or graduate students.

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

Not applicable.

C. Department Standards

Not applicable.

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.

Dates and times will be set by the Dean in accordance with those set by the Provost. In general this means the departmental review will be done by the end of fall semester.

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

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

- C. 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]

This committee will be composed of five tenured faculty at the Associate Professor or Professor level. A department head may serve only if elected by the college faculty. Members' terms are for three years. Each year at the beginning of fall semester, one member will be elected allowing for staggered terms. The dean will appoint two members of the committee. Appointed members will serve one year terms. When possible, the committee will have 25% female and/or minority representation. Elected members may not serve consecutive terms and members cannot serve if being considered for promotion. No member can serve on any other promotion and tenure committee while a member of this committee, either elected or appointed. Terms will begin immediately following the fall semester election.

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]

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]

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

During spring semester in 1996, and every triennial thereafter, the dean will request nominations for election to a three-year term on the University Promotion and Tenure Committee. The representative and alternate to the University Promotion and Tenure Committee must be a tenured full professor whose locus of tenure is with a College of Agriculture department. Nominations will be solicited from tenure track faculty including department heads. From those nominated, a ballot will be prepared and distributed to tenure track faculty who will elect one representative and one alternate to the University Promotion and Tenure Committee. The nominee receiving the majority of votes will be elected representative; the nominee receiving the second most votes will be elected alternate. No representative may be elected if he or she is a member of another promotion and tenure committee. Terms will begin at the start of fall semester.

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.

Provide copies of all review committee documents to the candidate by the beginning of April or annual review summary by the end of April.

- 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.

Notification of time schedules for annual reviews, retention, promotion and tenure will be given by the Department Head during fall semester based on schedules set by the Dean's Office.
- F. Providing the department review committee with information and materials essential to their deliberations, according to department, college and University procedures.
- G. Forwarding the candidate's dossier, including recommendation(s), to the college dean and sending a copy of the recommendation(s) to the candidate.
- H. Maintaining complete, accurate and up-to-date files on each faculty member. [FH 814.00]

415 RESPONSIBILITIES OF THE DEPARTMENT REVIEW COMMITTEE

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

[FH 813.00]

415.1 Membership and Procedures for Selection

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

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

For decisions of retention, tenure, and promotion, the Dept of Plant Sciences and Plant Pathology will have a committee of five tenured faculty elected by the tenure-track faculty of the department. The committee members will serve for rotating three year terms, with two, two, and one member being replaced on successive years. Retention, tenure, and promotion dossiers will be available to all tenure-track faculty in the department, who will be strongly encouraged to provide input to the five members of the review committee. Additionally, after the committee has reached an initial decision, it will meet with the tenured faculty to discuss its decision and gain input from the tenured faculty before a final vote of the committee members is taken.

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 will be solicited by the Department Head and collected, copied, and collated by the administrative assistant or person appointed by the Department Head. These copies will be confidentially distributed to the Promotion and Tenure Committees for their review. Upon completion of the review process, the materials are collected from the committee and destroyed. A summary of all confidential materials will be filed in personnel files in a locked cabinet in the Department Head's office.

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

The Department Head will notify each individual as to the recommendations of the Department promotion and Tenure Committee, both verbally and by letter. A majority vote by the Promotion and Tenure Committee is required to constitute a positive recommendation. In cases of negative recommendations, the letter will specify reasons for action. Recommendations will be forwarded by the Department Head to the Dean of the College of Agriculture with properly documented support prepared in the format outlined in the MSU-Bozeman *Faculty Handbook*.

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

415.3 Establishing Procedures for Obtaining External Peer Reviews

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

External peer evaluations are required for promotion and tenure. The candidate provides a list of six names, addresses and telephone numbers of potential external reviewers. The candidate should not contact any of the individuals. From this list, the Department Head will select two, who will be sent a copy of the individual's vitae and a standardized letter requesting an evaluation of the candidate's dossier. Letters of evaluation will address the candidate's professional potential and accomplishments in scholarship/creativity. In addition, the Department Head, after consultation with the Departmental Promotion and Tenure Committee, will also solicit three external referees not selected by the faculty member.

Such external referees are to be experts in the specific discipline, from other universities or appropriate institutions, and familiar with expectations of faculty performance. The referee will indicate if the candidate's performance would be sufficient for promotion or tenure at the referee's institution. Selection of mentors, former colleagues, collaborators or close friends as referees is not permitted. Candidates should not be informed of the identity of outside evaluators in order to protect the confidentiality of the review process.

The Department P&T report will state clearly how external referees were chosen and should include a brief statement (not a vita) of their status in the field. A copy of the letter soliciting outside reviewers must be included in the candidate's file; referees should state either knowledge of or relationship to the candidate, if any.

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]

For the Retention Review, internal written peer reviews of teaching, research, and outreach/service will be solicited by the Department Head. The candidate will provide a list of three names of internal peer reviewers. From this list, the Department Head will select one, who will be sent a copy of the retention material assembled by the candidate and a standardized letter requesting specific information. The Department Head, after consultation with the department Promotion and Tenure Committee, will also solicit internal evaluations not selected by the faculty member. One external review may be solicited in the same manner.

415.5 Actions of the Committee

The department review committee:

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

420 RIGHTS AND RESPONSIBILITIES OF THE CANDIDATE

421 RESPONSIBILITY TO PREPARE AND SUBMIT DOSSIER

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

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

421.1 Personal Statement or Self-Evaluation

The case for retention, tenure and/or promotion shall be made, in part, through a personal statement or self-evaluation in which the candidate shall discuss his or her accomplishments in teaching, research/creative activity, and outreach/ 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.

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 instructional, research or creative activities and service activities. The dossier shall include evidence of instructional activities and their evaluation, the set of articles, publications, creative endeavors, or other evidence that, in their judgement, represents their best efforts to advance the discipline or

profession.

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

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. [FH 812.00]

Materials not solicited by department head and the Promotion and Tenure Committee will not 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]

Faculty may request a change in their departmental role in conjunction with their goals statement and annual review procedure during the annual review process spring semester. A change in faculty role must be consistent with the department, college and university mission. Any substantial change in a faculty members role must be approved by the Department Head, College Dean, the Provost and the President.

510 PROCEDURES FOR CONDUCTING ANNUAL REVIEWS

The following procedures should be used in conducting annual reviews:

- A. The faculty member and department head annually review the faculty member's performance relative to the faculty member's role and responsibilities. Evaluations are expected to recognize the requirements and expectations of the position and the proportionate time and resources officially allocated to particular activities.
- B. The department head rates the performance of each faculty member and submits the rating card to the college dean using the rating system prescribed by the Salary Review Committee (SRC).
- C. The faculty member must sign the card on which the rating is communicated to the SRC. The signature of a faculty member does not indicate concurrence with the rating; rather it signifies that he or she has seen the rating. If the faculty member refuses to sign the card, the card shall be forwarded with the notation that the faculty member refused to sign it.
- D. Copies of all annual reviews and the performance ratings of each faculty member shall be

maintained in the faculty member's file in the department. These files shall be kept confidential and maintained in conformity with 453.00. [FH 720.00]

510.01 College Procedures

Department Head Annual Review

In January each year, the dean and the department heads will develop an evaluation document for review of department heads' administrative performance. Faculty will use this document for evaluation of their department head's performance for the previous calendar year. The completed evaluation document will be returned to the dean's office for compilation. Department heads will receive the compiled data and a summary of comments before their annual evaluation meeting with the dean. Prior to this meeting, department heads will submit to the dean, a written goals statement and other previously agreed to documents. At the annual evaluation meeting, the dean will review the faculty's evaluation and provide his evaluation. The dean's evaluation will include an assessment of the department head's research, teaching and outreach/service productivity for the prior calendar year. The dean will send a letter to each department head outlining the items discussed during the review meeting.

510.02 Department Procedures

Each year Faculty are requested to prepare a goals statement that embraces their role and responsibilities within the department, college and university. During the annual review process faculty members are asked to submit a self-evaluation of the previous year and a goal statement for the forthcoming year. This evaluation and goal statement are reviewed by the department head and the faculty member in an oral review session and an evaluation is made by the department head. This evaluation is checked on the prescribed form and signed by the department head and the faculty member. The faculty member's signature signifies that they have seen the evaluation but does not necessarily signify agreement with it.

511 RESPONSIBILITIES OF THE DEPARTMENT HEAD

The department head shall assign each faculty member the specific duties and responsibilities which meet department needs and enable the faculty member to fulfill the responsibilities of the position. The department head shall ensure that, taken collectively, the assignments of the faculty shall meet the department's and college's obligations to the University. The department head and the faculty

member shall annually review the faculty member's role within the department and make any modifications as may be necessary, after consultation with the faculty member. Any substantial modification of the faculty member's role within the department must be approved by the department head, dean and Provost and Vice President for Academic Affairs, after consultation with the faculty member.

[FH 721.00]

511.1 Procedures for Making Salary Recommendations

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

- A. The department head shall submit a proposed salary recommendation for each faculty member to the college dean.
- B. The dean will approve or modify the salary recommendation, and submit it to the Salary Review Committee by the established deadline.
- C. A written copy of the salary recommendation will be given to the faculty member. [FH 722.00]

512 RESPONSIBILITIES OF THE SALARY REVIEW COMMITTEE

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

513 CANDIDATE'S RIGHTS RELATIVE TO ANNUAL REVIEW

513.1 Right to Timely Review

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

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

513.2 Right to Appeal Annual Performance Evaluation

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

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

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