

GUIDELINES: EVIDENCE, CRITERIA, AND PROCEDURES
CONCERNING PERSONNEL DECISIONS

in the
Department of English
Revised September 2012

All professorial faculty members have the obligation to demonstrate their qualifications in teaching, in scholarship, and in service to the university. Accordingly, the professorial faculty members must provide the Department Council (hereafter “Council”) with appropriate evidence (see I A-C below) as to how they have discharged their responsibilities to give professional assistance to students and colleagues and to contribute to the whole activity of learning--the discovery, transmission, and application of knowledge.

I. **Evidence**

A. With regard to “**responsibilities respecting instruction**” [*College of Liberal Arts and Sciences Policies, Procedures, and Criteria Concerning Personnel Recommendations* (hereafter “PPC”)], the Council shall consider such sources of evidence as:

1. **Peer Evaluations**

- a. Written statements by colleagues who have observed and evaluated classroom performance and/or supporting materials
- b. Written statements by colleagues who have observed and evaluated a colleague’s teaching outside the classroom, as in public lectures

2. **Student Evaluations**

- a. University-mandated evaluations as standardized and administered by the department
- b. EGSA evaluations
- c. Other in-class evaluations initiated by the faculty member
- d. Unsolicited written statements from students

3. **Other kinds of evidence**

- a. Teaching materials (e.g., syllabi, tests, study questions, handouts)
- b. New courses and seminars created, developed, and offered
- c. Directed study topics supervised and brought to completion
- d. Teaching of ENGL 599 and 699
- e. Writing and grading of Grammar Exemption Examinations, M.A. and Ph.D. examinations
- f. Self-evaluations

- g. Pedagogical grants, fellowships and/or awards applied for, officially nominated for, or received
- h. Accomplishments of students when these are related to instruction by the faculty member
- i. Course section grade distributions
- j. Academic advisor to students

B. With regard to “**responsibilities respecting scholarship**” (PPC) the Council shall consider in the following order of importance such sources of evidence as:

1. **Publications and Awards** (in order of importance):

- a. Publications and any reviews of those publications
- b. Works accepted for publication
- c. Externally funded research grants, fellowships, and/or awards won or received

2. **Other scholarly activities such as** (not in order of importance):

- a. Reading papers at conferences
- b. Serving as chair, panelist, discussant at conferences
- c. Editing scholarly journals or serving on editorial boards
- d. Performing bibliographical services (e.g., for MLA, ALS)
- e. Refereeing manuscripts and grant and award applications
- f. Serving on panels for funding agencies

3. **Other evidence of continuing scholarly activity** (not in order of importance):

- a. Work submitted for publication
- b. Applications for research grants and fellowships
- c. Other scholarly, creative, and/or professional activities demonstrably related to the discipline and directed towards peers (e.g., translator, lecturer, interviewer)

C. With regard to “**quality of performance in improving the work and advancing the mission of the department, college, and university, including one’s overall contributions in rendering public service on behalf of the institution**” (PPC), the Council shall consider such evidence as evaluations of faculty member’s service as:

- 1. Member of or contributor to department, college, and/or university committees or councils
- 2. Sponsor of campus organizations

3. Consultant, speaker, reviewer, extension teacher, citizen of the academic community; contributor to professional organizations (e.g., association officer or member)
4. Supervising journal staff and operations or performing administrative duties associated with journal production

II. **Criteria**¹

A. **Tenure**

Recommendation for tenure shall normally require the earned doctorate or equivalencies appropriate to the field (see *Regulations of the Board of Trustees* II.A.3.c), clear evidence of effectiveness and promise of continuing growth in teaching and scholarship, and of effectiveness in institutional and professional public service when there has been opportunity to serve.

1. **Criteria for the measurement of teaching effectiveness and continued growth shall be understood to include:**

- a. Command of subject matter
- b. Willingness to assist students
- c. Creation of an atmosphere that encourages and facilitates learning, lucid reasoning, and independent thinking
- d. Skill in presenting material and demonstrating its significance and importance
- e. Commitment to teaching responsibilities (e.g., regular, prompt meeting of classes, keeping office hours)
- f. Openness in examination of a variety of views, including respect for student expression
- g. Fairness, reasonableness, timeliness, and discrimination in assigning and evaluating student work
- h. Assisting students in their academic and professional development (e.g., writing letters of recommendation, accommodating special circumstances)
- i. Continual efforts to improve the aims and content of courses and academic programs
- j. Continual assessment of effectiveness as a teacher

2. **Criteria for the measurement of effectiveness and promise of continuing growth in scholarship shall be understood to include:**

¹These criteria express the values and the intentions of the Department of English. They will be operative only in the absence of restrictions or limitations imposed upon the department.

- a. Publication in refereed journals, or in book or monograph form, together with judgments of the publications by specialists in the field
 - b. Peers' judgments of the quality of the venues of publication
 - c. Evidence of continued study and development
 - d. Peers' judgments of the faculty member's professional activities demonstrably related to the discipline and directed towards peers
3. **Criteria for the measurement of effectiveness in institutional and professional public service shall be understood to include:**
- a. Willingness to serve
 - b. Responsible fulfillment of assignments
 - c. Efforts to act in the best interests of the department, college, or university
 - d. Contributions to the profession and the discipline
 - e. Quality, significance, and impact of professionally-oriented public service related to one's scholarship and teaching
4. **For a recommendation for tenure, a faculty member should demonstrate excellence in teaching or scholarship, in addition to effectiveness and promise of continuing growth in teaching, scholarship, and service (i.e., II.A. 1-3).**
5. **If the Council judges that a candidate merits tenure, the Council must then consider the relationship of the candidate's area(s) of expertise to the needs of the department before making a final tenure decision.**

B. Promotion

- 1. **Recommendation for promotion to Assistant Professor** shall require an earned doctorate or equivalencies appropriate to the field, demonstration of effectiveness in teaching, and promise of scholarly achievement.
- 2. **Recommendation for promotion to Associate Professor**, in addition to the criteria for the rank of Assistant Professor, shall require demonstration that the faculty member is in the process of "achieving professional recognition among leaders in the candidate's discipline through a commitment to shared research" (*PPC I.F.3.d.2*). Criteria for evaluation shall include:
 - a. A pattern of effectiveness in teaching (see *PPC I.F.3.c*)
 - b. Scholarly activity such as:
 - i. Significant contributions (through publication in refereed journals and/or in books addressed to peers) to an area of scholarship or to humane letters
 - ii. Specialists' judgments of evidence of continued study and development in an area of interest or a specialty

- iii. Peers' judgments of the faculty member's professional service and of other activities demonstrably related to the discipline and directed towards peers
 - iv. Submission of "one or more proposals to granting agencies for external funding of the candidate's scholarly program," as required by the LAS College Council for faculty whose tenure-track appointment shall have begun during or after August 1998 (*PPC I.F.3.d.2*).
- c. A pattern of effectiveness in professional service (see *PPC I.F.3.e.*), including willingness to work effectively in efforts to improve the programs, personnel, conditions, and activities supporting the mission of the department and university.
3. **Recommendation for promotion to Professor**, in addition to the criteria for the rank of Associate Professor, requires demonstration that the faculty member has achieved recognition among leaders in the profession. This achievement is normally demonstrated by maturation in scholarship, sustained focus in the field as represented by publication of a significant scholarly or creative book or a series of articles in premier journals, distinguished presses, or distinguished series, and continuing professional development. The department will "pay particular attention to the significance and quality of the candidate's teaching and published research since appointment to the candidate's present rank" (*PPC I.F.1.*).

Criteria for evaluation shall also include submission of "one or more proposals to granting agencies for external funding of the candidate's scholarly program," as required by the LAS College Council for faculty who are recommended for promotion to the rank of professor during and (sic) after fall 2000 (*PPC I.F.3.d.3*)

The department will obtain at least four confidential external letters of evaluation for promotion candidates. Such letters will be solicited by the Chair from among leaders in the candidate's field. Evaluators will be drawn from a list of names contributed by the candidate and augmented by the Chair.

C. **Annual Merit Rating**

It is important to emphasize that, as in all personnel matters, it is the responsibility of the individual to provide evidence for the evaluation of teaching, scholarship, and service; the absence or the limitation of evidence precludes high evaluations. Further, superior teaching is demonstrated by a variety of evidence. The Council shall publish and follow written protocols for determining annual merit ratings in the three areas of professional responsibility.

1. **Weighting of areas of professional responsibility.** Each year the Council will determine each continuing faculty member's merit rating for the preceding year in

accordance with the evaluation format of the College of Liberal Arts and Sciences. The evaluation will be based on evidence of teaching, scholarship, and service (see I.A-C. above), and the areas of teaching, scholarship, and service will be weighted on a 2-2-1 ratio except for those faculty who have assignments for which they have released time and for whom the Council and the Chair have agreed, at the faculty member's request, to use another weighting. In the evaluation of the academic program directors, the three areas of professional responsibility will be equally weighted.

2. **Continuity of performance.** The Council's protocols for evaluating teaching and scholarship shall recognize continuity of performance in teaching and scholarship. This concept of continuity specifically does not apply to service.
3. **Professional leaves of absence.** A faculty member who during the preceding year was on sabbatical leave or other leave involving professional activity shall submit, in addition to any other evidence relevant to the evaluation, a report on his or her activities during the leave. (See *University Bylaws*, sec. 6.251.) If this report reflects significant professional activity, the faculty member shall receive an overall merit rating that is at least an average of his or her rating for the previous three years. If the report reflects inadequate professional activity, the overall rating may be lowered. For continuity of record, though not for the year's overall rating, a faculty member on leave for less than a year shall also receive evaluations of his or her scholarship, service, and teaching; and a faculty member on leave for a full year shall receive such an evaluation only in scholarship.

III. Procedures

Concerning itself only with performance in each of the three areas of responsibility as detailed in this document, and in the case of tenure, with the department's long-term needs, the Council shall assess the totality of an individual's professional performance in order to arrive at a fair and balanced judgment of its quality. The Council shall not deny professional advancement, opportunity, or privilege to any faculty member in the Department for reason of race, religion, creed, sex, marital status, social status, or national origin.

The Council shall also be careful to observe the provision in the bylaws section 5.211 of the *University Constitution and Bylaws* (1998), which warns against prejudice regarding age, color, political views or affiliations, sexual orientation, disability status, or other such factors unrelated to professional performance.

- A. The faculty member must ensure that an up-to-date vita and the annual faculty service report are on file in the departmental office.
- B. Normally, the order of discussion shall be recommendations for merit ratings, then termination, then tenure, then promotion. Recommendations for dismissal for cause shall be discussed at such time as evidence may warrant.

- C. The time of review for tenure shall be that established by the Board of Trustees. Recommendations for non-renewal of a contract or for a terminal appointment may be made during the probationary period. Faculty members to be considered for tenure shall be notified in the spring semester. In the spring semester, candidates shall fill out a draft of Part I of the college “Recommendation for Promotion and Tenure” form to be placed on file in the departmental office and shall update it as of 15 August.
- D. In the spring semester the Council shall examine the vitae of all associate and assistant professors. From those eligible for promotion by virtue of years in rank, the Council shall choose those who appear to be eligible according to the criteria contained in this document and invite them to fill out Part I of the college “Recommendation for Promotion and Tenure” form. Where the vita appears to justify it, the Council may invite a faculty member to apply for early promotion. However, other faculty members may request that they be considered for promotion.
- E. In the spring semester the Council shall inform the tenured faculty of the faculty members to be considered for tenure in the fall, in accordance with the “Guidelines . . .,” and shall provide them with a completed copy of each candidate’s Part I form, “Recommendation for Promotion and Tenure.” The Council shall request the written advice of the tenured faculty about the professional competence and achievement of each faculty member being considered for tenure. This advice shall take the form of a written report with a recommendation. The tenured faculty shall record a (nonbinding) vote on the report and the recommendation and submit their minutes to the Council. All members of the tenured faculty as groups or individuals shall have the opportunity to present additional written evaluations of the tenure candidates to the Council. The Council may also seek additional comments from specialists. All reports shall be signed. In a given year all evaluations shall be carried out in a consistent manner. The Council shall set a date for these reports to be submitted in the light of college deadlines for submission of recommendations for tenure.
- F. In the spring semester the Council shall inform the associate and/or full professors of the faculty members to be considered for promotion and shall provide them with a completed copy of each candidate’s Part I form, “Recommendation for Promotion and Tenure.” The Council shall request the written advice of faculty members of higher rank(s) (i.e., associate and full professors in the case of assistant professors being considered for promotion, and full professors in the case of associate professors being considered for promotion) about the professional competence and achievement of the candidates being considered for promotion. All associate and/or full professors as groups or individuals shall have the opportunity to present additional written evaluations of the promotion candidates to the Council. The Council may also seek additional comments from specialists. All reports shall be signed. The Council will seek confidential external letters of evaluation for promotion candidates. Such letters will be solicited by the Chair from among leaders in the candidate’s field. Evaluators will be drawn from a list of names contributed by the candidate and augmented by the Chair. In a given year all

- evaluations shall be carried out in a consistent manner. The Council shall set a date or dates for these reports to be submitted in the light of college deadlines for submission of recommendations for promotion.
- G. The Council, through the Chair of the department, may each year request that the department's administrative staff participate in all tenure, promotion, and merit deliberations. The Department Chair, who serves as chair of the Council, submits an independent evaluation for tenure, promotion, and salary increments and does not vote with the elected members of the Council on these personnel decisions.
 - H. Prior to Council discussion of the professional performance of a faculty member to be considered for tenure, promotion, termination, or dismissal for cause, the Council members shall individually review the faculty member's personnel file, which shall contain copies of all annual service reports, progress toward tenure letters (when available), and all summary evaluations of or by the faculty member, as well as other evidence detailed in section I of this document. Prior to the final discussion and vote on any recommendation for tenure or promotion, the Chair of the Council shall poll the members of the Council to ascertain that each has complied with the above requirement.
 - I. In tenure deliberations, prior to the discussion of departmental need, the Council shall review with the administrative staff the long-term needs of the department in terms of specialties as well as programmatic needs of the graduate, undergraduate, and freshman English programs.
 - J. Council members shall then vote.
 - K. When the Council has reached decisions on all faculty members for annual merit ratings it shall review its decisions, in order to compare the bases of each decision with those of all the others. Such review may lead to further votes on the decisions. In the same manner, the Council shall review tenure and promotion decisions.
 - L. After the final vote on a recommendation for tenure or promotion, the Chair, acting for the Council, shall prepare Part II of the college "Recommendation for Promotion and Tenure" form. If the Chair and the Council disagree on the recommendation, the Council shall appoint a representative to prepare the recommendation form.
 - M. Every Council recommendation for tenure and/or promotion shall be approved by the Council prior to its submission to the college office. A copy shall at the same time be sent to the candidate.
 - N. In recommendations for tenure and/or promotion, each member of the Council, including the Chair, has the right to express in writing to the Dean and to the College Council a position differing from that of the Department Council. A copy shall at the same time be sent to the Department Council, which in turn shall supply a copy to the candidate. The

- Chair shall inform the Department Council when differing from it with respect to a faculty member's annual merit rating.
- O. A recommendation for tenure, promotion, or merit rating may be reconsidered should significant new evidence be made available.
 - P. Within seven working days after completing all recommendations on tenure, promotion, and annual merit ratings, the Council and the Chair shall notify faculty members of the recommendations concerning them. A faculty member may request that the Council, the Chair, or both reconsider a recommendation on the grounds of alleged inadequate consideration or alleged violation of academic freedom. The Chair shall inform the Council of any request for reconsideration of the Chair's recommendation, and the outcome. Any request for reconsideration should be made within seven working days of notification. At the time of reconsideration for tenure or promotion, faculty members shall have the right to appear before the Council accompanied by an academic advisor of their choice.
 - Q. If faculty members have cause for grievance in such matters as salary, assignment of teaching duties, assignment of space or other facilities, and propriety of conduct, they may petition the Council for redress. The petition shall set forth in detail the nature of the grievance and shall state against whom the grievance is directed. It shall contain any factual or other data which the petitioner deems pertinent to the case. The Council shall have the right to decide whether or not the facts merit a detailed investigation. Submission of a petition shall not automatically entail investigation or detailed consideration; however, the petitioner shall receive a reply. The Council may seek to bring about a settlement of the issue satisfactory to the parties. If in the opinion of the Council such a settlement is not possible or is not appropriate, the Council shall report its findings and recommendation to the petitioner and to the college office, and the petitioner may ask for a conference with the Dean of the college.

IV. Amendment of these *Guidelines*

This document may be amended by the approval of two-thirds of the elected representatives of the professorial faculty to the Department Council, unless such amendment would violate provisions of the *Charter*. The protocols that are appendices to this document may be amended by the approval of a simple majority of the elected representatives of the professorial faculty to the Department Council.