# PERSONNEL GUIDELINES AND PROCEDURES

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**Effective date:** April 8, 2003

Supersedes departmental guidelines dated August 23, 1999, and all previous guidelines.
I. General Principles

A. This document supplements UPS 210. It provides additional detail regarding the guidelines and procedures to be used by all parties reviewing personnel files.

B. Before coming into force, this document or amendments to same must be approved by a two-thirds voting majority of the full-time faculty of the Department.

C. For use in an academic year, revisions of this document must be submitted for approval to the Dean of the School of Humanities and Social Sciences and the Faculty Personnel Committee by September 20th and November 1st, respectively, of the previous year.

D. The Chair shall ensure that all prospective faculty receive a copy of this document prior to their hire.

II. Selection of Departmental Personnel Committee (DPC)

A. The DPC shall consist of three regular members and one alternate member. All four members shall have been granted tenure and shall not include the chair of any department. Neither shall the DPC include a person who will be on any type of leave during the projected year of service.

The alternate committee member may serve in place of a regular committee member who disqualifies himself/herself, resigns, or is unable to attend committee meetings because of circumstances beyond his/her control. If the alternate member begins service after the DPC evaluation cycle has begun, the Committee shall begin the cycle anew.

The Chair of the DPC shall be responsible for solving miscellaneous technical problems that might accompany changes in the committee membership during the personnel year. Should the Committee be left without a chair, the responsibility shall devolve to the regular committee member who is senior in time of service on former departmental personnel committees.

B. The ballot used to elect the DPC shall contain the names of all eligible department members who do not explicitly disqualify themselves.

C. Given a request by one or more departmental members, the Chair shall call an open forum and invite all candidates to present their interpretation of the policies and guidelines set forth in UPS 210 and in this document.
D. Election to the DPC shall be by secret ballot at an official department meeting during May of each year. Absentee ballots shall be permitted. Notice of such an election shall be made either on an agenda distributed at least one week prior to the meeting or through some other procedure approved by the Department as a whole. The new DPC member shall take office at the outset of the succeeding academic year.

III. Criteria Used in Making Personnel Decisions

A. Teaching
B. Scholarship and Creative Accomplishments
C. Professional, University and Community Service

IV. Classification of Faculty Activities

A. Teaching

1. Class lectures and other class activities
2. Development and improvement of course outlines, syllabi, examinations, visual aids, and other course materials for student use
3. Preparation of new course proposals which have been approved for inclusion in the curriculum
4. Thesis advisement
5. Mentoring activities
6. Instructionally related research
7. Travel and field trips related to one's regional, systematic, or topical specialization
8. Other indicators of on-going professional development as a teacher as described in UPS 210, including participation in seminars, workshops and institutes.

B. Scholarship and Creative Accomplishments

1. Published research
   a. Items subject to both editorial and peer review
      • authored and edited books
      • chapters in edited books
      • scholarly monographs
      • articles in scholarly journals with national readership
   b. Items subject only to editorial review
      • authored and edited books
      • chapters in edited books
      • articles in news magazines, opinion magazines, trade magazines, popular magazines, and newspapers
      • maps and other graphical materials
      • popular magazines, and newspapers
      • photographs
      • publication of book reviews, letters to the editor, and other expressions of opinion
2. Research grants and contracts requested or received
   a. Externally-funded submissions
   b. Internally-funded submissions
   c. Unsuccessful submissions

3. Unpublished research and consulting activities
   a. Completed dissertation
   b. Technical reports
   c. Conference papers given or accepted
   d. Exhibits at poster sessions
   e. Papers submitted but not accepted
   f. Partially completed manuscripts
   g. Service as a professional consultant
   h. Critiquing manuscripts for editors

C. Service to Profession, University and Community

1. Activities in professional organizations
   a. Attendance at meetings
   b. Service as session organizer, chair, or discussant
   c. Service on committees
   d. Holding of offices
   e. Reception of honors and awards

2. Participation on evaluation panels

3. Work with public and private schools and other educational institutions

4. Other service activities as described in UPS 210

V. Standards for Personnel Actions

A. General Principles

1. According to UPS 210 “teaching shall be the most important criterion for retention, tenure, and/or promotion . . . . scholarly/creative activities shall be the second most important criterion . . . high quality performance in all three areas shall be required for retention, tenure, and promotion”.

Before the end of the first two weeks of the fall semester, the department chair shall consult with each newly appointed probationary tenure-track faculty member concerning appropriate faculty mentors and shall designate one or more tenured faculty members as mentors. In the event that the chair serves as a mentor, at least one additional mentor shall be designated. At any time thereafter, the probationary faculty member or mentor may request the department chair to make a change of assignment. The primary responsibility of the mentor(s) is to provide guidance, advice and support to the probationary faculty member during the preparation of the Developmental Narrative.

During the first year of employment in a tenure-track position, each probationary faculty member shall write a prospective Developmental Narrative for teaching, scholarly and creative activities, and service. The narrative shall describe the faculty member’s professional goals, areas of interest, resources required, and accomplishment (s)he expects to achieve in each of the three areas in order to
meet the requirements of the Department Personnel Standards and UPS 210.000 for retention, tenure, and promotion. The Developmental Narrative will be reviewed by the department chair and the dean, who will each provide feedback by May 1. The Developmental Narrative shall be included in the faculty member’s Portfolio that is submitted for retention review during the second year in the tenure-track position. During subsequent years the Developmental Narrative may be revised to reflect changes and professional growth that normally occur during the probationary period.

B. Specific Cases

1. Satisfactory levels of performance for probationary faculty seeking RETENTION.
   
a. General Principles
      
      • According to UPS 210 “To be retained during the probationary period, a faculty member is required to demonstrate progress toward tenure such that a positive tenure decision is likely.”

b. Teaching

      • For faculty with less than two years of full-time teaching experience, achievement of a mean SRI-score of 2.8 (the rough equivalent of a letter grade of B-) in all classes taught during the period of service. For each class rated below 3.0 the faculty shall submit statements about what he/she plans to do in order to obtain a more positive student response from future sections of the class.

      For faculty with two or more years of full-time teaching experience, achievement of a mean SRI-score of 3.0 (the rough equivalent of a letter grade of B) in all classes taught during the past four years or the period of service, if less than four years.

      The mean SRI-score is derived by averaging the means earned on all six SRI items in all classes taught. Means earned in three-unit classes carry three times the weight of means earned in one-unit classes.

      • Course outlines and syllabi that demonstrate critical thought, currency within the discipline, an ability to apply concepts, and a thoughtful approach to the discipline in general.

      • Examinations, assignments, and/or projects that test whether students comprehend and are able to use the facts and concepts presented in class.

      • Evidence of other activities that demonstrate high quality teaching, for example, thesis advisement, instructionally related research, travel for the purpose of taking photographs to be shown in class and other items listed in section IV.A above.
• An average of one instance of attendance at a professional conference, meeting, field trip, seminar, workshop, or institute per year of service;

• Indicators of high quality teaching shall be subject to peer evaluation as described in UPS 210.

c. Scholarship and Creative Accomplishments

• Completed dissertation as discussed in UPS 210.

• A rate of scholarship and creative accomplishments commensurate with the rate and level required to meet the Department's requirements for tenure and promotion to associate professor (see Sec V.2.c Scholarship and Creative Accomplishments below).

d. Professional, University and Community Service

• Regular attendance and participation at departmental and assigned committee meetings.

• Other service activities commensurate with the rate required to meet the Department’s standards for tenure and promotion (see Sec. 5B2d below).

2. Satisfactory levels of performance for faculty seeking TENURE and PROMOTION TO THE RANK OF ASSOCIATE PROFESSOR.

a. General Principles

• According to UPS 210 “Promotion to Associate Professor is automatic with the granting of tenure” and “Faculty shall normally be considered for tenure during the sixth probationary year”.

b. Teaching

• Achievement of a mean SRI-score of 3.0 (the rough equivalent of a letter grade of B) in all classes taught during the past four years. This score is derived by averaging the means earned on all six SRI items in all classes taught. Means earned in three-unit classes carry three times the weight of means earned in one-unit classes.

• Course outlines and syllabi that demonstrate critical thought, currency within the discipline, an ability to apply concepts, and a thoughtful approach to the discipline in general.

• Examinations, assignments, and/or projects that test whether students comprehend and are able to use the facts and concepts presented in class.

• Evidence of other activities that demonstrate high quality teaching, for example, thesis advisement, instructionally related research, travel for the
purpose of taking photographs to be shown in class, and other items listed in section IV.A above.

- An average of one instance of attendance at a professional conference, meeting, field trip, seminar, workshop, or institute per year of service;

- Indicators of high quality teaching shall be subject to peer evaluation as described in UPS 210.

- Based on his/her experiences as an assistant professor and on comments from students on SRI forms, a frank assessment of his/her major strengths and weaknesses as a university teacher and a statement of the ways in which these weaknesses are being addressed.

c. Scholarly and Creative Activity

- For every six years of service, the publication of:

  three peer-reviewed articles
  or
two peer-reviewed articles and two substantial non-peer-reviewed articles
  or
two peer-reviewed articles and two externally-funded research grants or contracts
  or
one peer-reviewed article and one peer-reviewed monograph or book
  or
a combination of items equivalent in quantity and quality to any one of the combinations described above.

The faculty member shall describe clearly the nature and extent of his/her contribution to co-authored items. He/she shall describe also the precise nature of the peer group that has acted on each peer-reviewed item and the factors that lend substance to each of the non-peer-reviewed items submitted as evidence of scholarly and creative activity.

- Evidence of other scholarship and creative accomplishments (technical reports, conference papers, and so forth) that demonstrates a commitment to research and to advancement of the discipline.

d. Professional, University and Community Service

- Regular attendance and participation at departmental and assigned committee meetings.

- Evidence of service to the Department beyond departmental and assigned committee meetings during the period of service
  or
evidence of appropriate service beyond the Department but within the university, profession and/or community during the period of service.
3. Satisfactory levels of performance for faculty seeking PROMOTION TO THE RANK OF FULL PROFESSOR.

a. General Principles

- According to UPS 210 "the University expects that tenured faculty will continue to strive for excellence in all three areas of performance, and that successful faculty members will display accomplishments, growth, and future potential throughout their careers. Therefore, the decision to grant promotion to the rank of professor shall be based on a record that indicates sustained vitality and commitment to the standards described above."

b. Teaching

- Achievement of a mean SRI-score of 3.0 (the rough equivalent of a letter grade of B) in all classes taught during the past four years. This score is derived by averaging the means earned on all six SRI items in all classes taught. Means earned in three-unit classes carry three times the weight of means earned in one-unit classes.

- Course outlines and syllabi that demonstrate critical thought, currency within the discipline, an ability to apply concepts, and a thoughtful approach to the discipline in general.

- Examinations, assignments, and/or projects that test whether students comprehend and are able to use the various facts and concepts presented in class.

- Evidence of other activities that demonstrate high quality teaching, for example, thesis advisement, instructionally related research, travel for the purpose of taking photographs to be shown in class, and other items listed in section IV.A above.

- An average of one instance of attendance at a professional conference, meeting, field trip, seminar, workshop, or institute per year of service;

- Indicators of high quality teaching shall be subject to peer evaluation as described in UPS 210.
Based on his/her experiences as an associate professor and on comments from students on SRI forms, a frank assessment of his/her major strengths and weaknesses as a university teacher and a statement of the ways in which these weaknesses are being addressed.

c. Scholarship and Creative Accomplishments

- Over the past five years and subsequent to promotion to associate professor, publication of:

  three peer-reviewed articles
  or
  two peer-reviewed articles and two substantial non-peer-reviewed articles
  or
  two peer-reviewed articles and two externally-funded research grants or contracts
  or
  one peer-reviewed article and one peer-reviewed monograph or book
  or
  a combination of items equivalent in quantity and quality to any one of the combinations described above.

  The faculty member shall describe clearly the nature and extent of his/her contribution to co-authored items. He/she shall describe also the precise nature of the peer group that has acted on each peer-reviewed item and the factors that lend significance to each of the non-peer-reviewed items submitted as evidence of scholarly and creative activity.

- Evidence of other scholarship and creative accomplishments (technical reports, conference papers, and so forth) that demonstrates a commitment to research and to advancement of the discipline.

d. Professional, University and Community Service

- Regular attendance and participation at departmental and assigned committee meetings.

- Evidence of service to the Department beyond departmental and assigned committee over the past five years.

- Evidence of appropriate service beyond the Department but within the university, profession and/or community over the past five years.
4. Satisfactory levels of performance for faculty seeking EARLY PROMOTION.

   A. The standard for early promotion is as follows:

   - A minimum of "one year of service in rank" as described in UPS 210.
   - Teaching during the period of service in rank which exceeds the department standards for promotion by a substantial amount.
   - Scholarly and Creative Activity during the period of service in rank which exceeds the department standards for promotion by a substantial amount.
   - Department, University and Community Service during the period of service in rank which meets the department standard for promotion.
VI. Procedures Used to Obtain a Summary Score

A. Numerical Measures of Performance

1. On the basis of the foregoing standards, a whole numerical rating shall be assigned to the performance of the faculty member under review in each of the three categories used for personnel evaluation. All of the ratings shall be assigned on the basis of written evidence of performance.

2. The following table indicates the numerical ratings commensurate to various qualitative assessments of performance.

<table>
<thead>
<tr>
<th>Qualitative Assessment of Performance</th>
<th>Commensurate Numerical Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exceeds Standards by Substantial Amount</td>
<td>5</td>
</tr>
<tr>
<td>Exceeds Standards</td>
<td>4</td>
</tr>
<tr>
<td>Meets Standards</td>
<td>3</td>
</tr>
<tr>
<td>Falls Short of Standards</td>
<td>2</td>
</tr>
<tr>
<td>Falls Substantially Short of Standards</td>
<td>1</td>
</tr>
</tbody>
</table>

B. Relative Weights Assigned to Categories of Performance

1. In assessing the overall quality of faculty performance, the following weights shall be assigned to the four categories used to judge such performance:

   Teaching .......................................... 5
   Scholarship and Creative Accomplishments..... 3
   Professional, University and Community Service 1
C. Minimum Levels of Performance Required for Advancement

1. Retention

Faculty member with less than two full years of service

<table>
<thead>
<tr>
<th>Rating</th>
<th>Weight</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Teaching</td>
<td>3 x 5</td>
<td>= 15</td>
</tr>
<tr>
<td>S+C Acc.</td>
<td>2 x 3</td>
<td>= 6</td>
</tr>
<tr>
<td>Service</td>
<td>2 x 1</td>
<td>= 2</td>
</tr>
<tr>
<td>Overall Score</td>
<td></td>
<td>= 23</td>
</tr>
</tbody>
</table>

or

<table>
<thead>
<tr>
<th>Rating</th>
<th>Weight</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Teaching</td>
<td>2 x 5</td>
<td>= 10</td>
</tr>
<tr>
<td>S+C Acc.</td>
<td>3 x 3</td>
<td>= 9</td>
</tr>
<tr>
<td>Service</td>
<td>2 x 1</td>
<td>= 2</td>
</tr>
<tr>
<td>Overall Score</td>
<td></td>
<td>= 21</td>
</tr>
</tbody>
</table>

Faculty member with two or more full years of service

<table>
<thead>
<tr>
<th>Rating</th>
<th>Weight</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Teaching</td>
<td>3 x 5</td>
<td>= 15</td>
</tr>
<tr>
<td>S+C Acc.</td>
<td>3 x 3</td>
<td>= 9</td>
</tr>
<tr>
<td>Service</td>
<td>2 x 1</td>
<td>= 2</td>
</tr>
<tr>
<td>Overall Score</td>
<td></td>
<td>= 26</td>
</tr>
</tbody>
</table>
2. Tenure and Promotion to Rank of Associate Professor

<table>
<thead>
<tr>
<th></th>
<th>Rating</th>
<th>Weight</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Teaching</td>
<td>3</td>
<td>x 5</td>
<td>15</td>
</tr>
<tr>
<td>S+C Acc.</td>
<td>3</td>
<td>x 3</td>
<td>9</td>
</tr>
<tr>
<td>Service</td>
<td>3</td>
<td>x 1</td>
<td>3</td>
</tr>
<tr>
<td>Overall Score</td>
<td></td>
<td></td>
<td>27</td>
</tr>
</tbody>
</table>

3. Promotion to Rank of Full Professor

<table>
<thead>
<tr>
<th></th>
<th>Rating</th>
<th>Weight</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Teaching</td>
<td>3</td>
<td>x 5</td>
<td>15</td>
</tr>
<tr>
<td>S+C Acc.</td>
<td>3</td>
<td>x 3</td>
<td>9</td>
</tr>
<tr>
<td>Service</td>
<td>3</td>
<td>x 1</td>
<td>3</td>
</tr>
<tr>
<td>Overall Score</td>
<td></td>
<td></td>
<td>27</td>
</tr>
</tbody>
</table>

4. Early Promotion

<table>
<thead>
<tr>
<th></th>
<th>Rating</th>
<th>Weight</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Teaching</td>
<td>5</td>
<td>x 5</td>
<td>25</td>
</tr>
<tr>
<td>S+C Act.</td>
<td>5</td>
<td>x 3</td>
<td>15</td>
</tr>
<tr>
<td>Service</td>
<td>3</td>
<td>x 1</td>
<td>3</td>
</tr>
<tr>
<td>Overall Score</td>
<td></td>
<td></td>
<td>43</td>
</tr>
</tbody>
</table>
D. Summary Score Sheet

As part of the evaluation process, each member of the DPC and Departmental Chair shall indicate on a copy of the Summary Score Sheet (see Appendix) the numerical ratings and the overall score assigned to the faculty member under review.

VII. Feedback

A. The Chair of the DPC shall forward to the Department Chair the Committee's group recommendation, including the Committee's composite rating for each of the four categories.

B. The Department Chair shall show to the faculty member under review both the DPCs and his/her own recommendations. The chair shall also provide the faculty member with copies of both recommendations.

C. The faculty member has a right to add a response or rebuttal to the recommendation by the DPC.
1. Name of faculty member: ________________________________

2. Date: ________________________________

3. Personnel action under consideration (Check one of the following.)
   
   _____ Retention (less than two years of service)
   _____ Retention (two or more years of service)
   _____ Tenure and/or promotion to rank of associate professor
   _____ Promotion to rank of full professor
   _____ Early tenure, early promotion, and/or jump promotion

4. Minimum levels of performance required for the personnel action checked in item 3, above
   (Supply the appropriate ratings and summary score from V1.C.)

<table>
<thead>
<tr>
<th>Rating</th>
<th>Weight</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Teaching</td>
<td>x</td>
<td>5</td>
</tr>
<tr>
<td>S+C Acc.</td>
<td>x</td>
<td>3</td>
</tr>
<tr>
<td>Service</td>
<td>1</td>
<td>=</td>
</tr>
<tr>
<td>Overall Score</td>
<td></td>
<td>=</td>
</tr>
</tbody>
</table>

5. Ratings and summary score assigned to faculty member

<table>
<thead>
<tr>
<th>Rating</th>
<th>Weight</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Teaching</td>
<td>x</td>
<td>5</td>
</tr>
<tr>
<td>S+C Acc.</td>
<td>x</td>
<td>3</td>
</tr>
<tr>
<td>Service</td>
<td>1</td>
<td>=</td>
</tr>
<tr>
<td>Overall Score</td>
<td></td>
<td>=</td>
</tr>
</tbody>
</table>

6. Faculty member has / has not (circle one) met the minimum levels of performance required for the personnel action checked in item 3, above.