



University of Southern Indiana

Pott College of Science, Engineering, and Education

**Evaluation Criteria and Procedures
for
Reappointment, Tenure, and Promotion**

Spring 2013

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I. Evaluation Criteria for Reappointment, Tenure, and Promotion

The Pott College of Science, Engineering, and Education is committed to the highest standards of excellence and service to its varied clientele. This commitment dictates that the college maintains a dedicated faculty whose professional competencies, skills, and contributions meet high expectations. To this end, faculty members submit to an on-going process of performance review and evaluation. The evaluation process for faculty at the University of Southern Indiana and in the professoriate in general requires individuals to document their professional accomplishments in the areas of teaching, scholarship and professional activity, and service to the institution and community.

Evaluation of college faculty by the dean must ultimately conform to policies and procedures specified in the USI *University Handbook*, and will be implemented in a manner congruent with the college's mission statement.

Our mission is to: provide a rigorous and diverse undergraduate education in science, engineering, and mathematics by developing analytical, problem-solving, and communication skills that prepare students for careers and post-graduate pursuits. We promote student and faculty interactions in state-of-the-art facilities and provide opportunities for students to participate in undergraduate research and scientific discovery.

With a faculty dedicated to teaching, scholarship, and service, we create a learning environment where students:

- interact closely with faculty members, encouraging achievement at the highest levels;
- collaborate with faculty on research projects, inspiring scientific discovery;

- become part of an academic community that values learning and accomplishments;
- develop intellectual pride and appreciation for new ideas and opinions.

Within each area evaluated, a variety of activities may be considered as worthwhile contributions. Faculty evaluations consider both the quantity and quality of these contributions. The *University Handbook* sets general performance expectations that faculty must meet to achieve tenure and/or promotion in rank. This college-level document is intended to expand upon the general University expectations by compiling performance criteria to be used for faculty evaluations in the Pott College of Science, Engineering, and Education.

The University of Southern Indiana's primary mission is teaching. However, developing and establishing an active and consistent scholarship program is considered an important and necessary component of faculty professional growth and development. These two areas, teaching and scholarship are of primary importance in faculty performance evaluations. Faculty members are expected to contribute in all three major activity areas—teaching, scholarship, and service.

The following articulation of specific criteria is intended to help direct faculty efforts in ways supportive of the College's mission and expectations. Further, the criteria are intended to reduce ambiguity, for both faculty evaluatees and members of faculty evaluation committees, about the types of professional activities which the college deems worthwhile in the three major areas of faculty endeavor. While the lists of criteria that follow attempt to address the range of activities in which faculty in the College are normally engaged, the lists should not be considered exhaustive. At the same time, faculty members are not expected to address in their performance all the criteria listed under a specific category. Within each category, the criteria are not necessarily

listed in order of importance. Further, the criteria listed do not necessarily carry equal weight for promotion and tenure purposes.

Individual faculty accomplishments can vary in regard to the scope and impact of the activity in question. As a general rule, the wider the scope, impact, and/or recognition of an activity, the greater its value and therefore its weight in faculty performance evaluations. Consequently, national- or international-level activities and accomplishments are given more weight than local or regional ones, and contributions that have impact or recognition both external and internal to the University deserve more weight than those with internal impact/recognition only.

Because the nature of faculty contributions varies widely among and within disciplines represented in the College, a set formula for determining a faculty member's worthiness for tenure or promotion is neither possible nor desirable. Rather, as overarching premises, College faculty are expected to work productively and cooperatively with colleagues toward achievement of Department, College, and University goals, and to demonstrate a sustained record of academic competence, professional growth, and status achievement within their discipline in order to achieve tenure or promotion. To demonstrate this record, faculty must contribute quantitatively and qualitatively to their Departments, the College, the University, and their discipline as a whole through the kinds of activities outlined in the evaluation criteria.

II. Statement on Recognized Terminal Degrees

University guidelines specify that tenure and promotion are ordinarily awarded only to faculty who hold the terminal degree or its equivalent in their disciplines. For faculty in the college, the doctorate is the recognized terminal degree.

III. Evaluation Criteria

A. Teaching

Teaching is the primary mission of the University of Southern Indiana and the Pott College of Science, Engineering, and Education. Therefore, striving for excellence in teaching is expected of all faculty. It is the policy of the college that no faculty member will be recommended for tenure or promotion in rank without documented evidence of effective teaching performance. Faculty are encouraged, though not required, to document their teaching performance via teaching portfolios prepared according to nationally-accepted norms. Examples of the criteria upon which teaching performance will be evaluated include:

- maintenance of high academic standards for student performance;
- involvement in faculty development activities to improve teaching (attendance at workshops, seminars, or conferences on teaching; acquiring new skills that can be brought to the classroom, etc.);
- evidence of efforts to develop new courses or revise and improve existing courses (course revisions, development of teaching aids, updates in course currency, etc.);
- development of teaching materials such as textbooks (see Appendix I), workbooks, laboratory manuals and/or exercises, etc.;
- quality and effectiveness of classroom teaching as demonstrated by student evaluations;
- quality and effectiveness of classroom teaching as demonstrated by peer evaluations;
- incorporation of modern technology into classroom teaching and student learning situations;

- authorship of proposals to obtain grants for teaching-related activities;
- successful direction of students in independent research projects or activities;
- evidence of cognitive or effective gain by students in classes taught by the faculty member (e.g., student success in subsequent, related courses; performance on standardized or normed tests);
- evidence of effective academic advisement;
- professional involvement with students in out-of-class settings (clubs, organizations, etc.) ;
- receipt of awards and honors for teaching;
- service as a master teacher or teaching mentor to colleagues (conducting teaching workshops, presenting teaching-related seminars, mentoring new faculty, etc.).

B. Scholarship and Professional Activity

Faculty in the Pott College of Science, Engineering, and Education are expected to be active scholars in their professional disciplines. While scholarly activities may come in a variety of forms, receipt of tenure and/or promotion in academic rank is generally predicated upon publication of original research in recognized, peer-reviewed outlets. There are instances, with appropriate justification, where technical reports or other forms of documentation describing consulting or similar professional activity will be recognized. Only in rare circumstances, with sufficient and appropriate justification, will research publications in non-refereed outlets be recognized as acceptable professional contributions for tenure and promotion purposes. Examples of the criteria upon which performance in scholarship and professional activity will be evaluated include the following:

- publication of original research results in professional journals;
- collaborative research with colleagues and/or students that results in peer reviewed publication and/or presentation;
- authorship (or editorship, if applicable) of published scholarly books (including scholarly textbooks--see Appendix I), book chapters, patents, computer software, technical reports, or technical manuals;
- presentation of research results at professional meetings or conferences;
- authorship of proposals to obtain grants for research-related activities;
- presentation of scholarly work at seminars or workshops related to research;
- reviews of journal articles, books, manuscripts, or grant proposals for external agencies;
- Consulting or similar professional work with businesses, industries, non-profit institutions, or governmental agencies that leads to identification and/or solution of real world problems [Written documentation (external whenever possible) of the nature, scope, and professional significance of the work must be provided.]; non-compensated consulting or similar professional work may be classified more appropriately under service unless documentation clearly demonstrates the identification and/or solution of real world problems;
- involvement in faculty development activities to improve research skills or competencies (attendance at workshops, seminars, or conferences on research; acquiring knowledge of new research techniques, etc.);
- active involvement in professional organizations and societies related to the faculty member's area of expertise;
- evidence of successful progress in long-range research projects and programs;

- maintenance of successful research collaborations with colleagues internal or external to the University;
- receipt of awards and honors for scholarship or professional activity.

C. Service

Faculty in the Pott College of Science, Engineering, and Education are expected to be actively involved in service to the University and community. Service activities necessarily vary widely in scope and kind, and are therefore difficult to categorize specifically. However, the college recognizes that worthwhile service contributions are those in which the faculty member contributes his or her knowledge, interests, and skills in work that better the institution or the community at large. In general, the value of any service activity for promotion and tenure purposes depends upon the activity's scope and significance, and the faculty member's level of involvement. Chairing, holding office, or otherwise directing or leading a committee, task force, organization, or activity group is more valuable than participation or membership alone. Examples of the criteria upon which performance in service will be evaluated include the following:

- involvement with University, College, or Departmental committees or task forces;
- participation as a mentor in the College Mentoring Program;
- involvement with community organizations, boards, or activity groups as related to faculty members expertise;
- contributions to University or community betterment made by the faculty member as an individual, not as part of a group;
- assumption of leadership roles in service activities;
- receipt of awards and honors for service activities;
- service in administrative positions at the program, department, college, or University levels. Realizing that acceptance of a

significant administrative assignment may diminish an individual's ability to make contributions in other areas, especially scholarship, the weight given administrative service in the overall evaluation should be proportional to the amount of load credit assigned for administrative work.

- Service as a faculty advisor to student organizations

Appendix I

Policy Statement on Textbooks

Because the nature and scope of textbooks can vary, the Pott College of Science, Engineering, and Education recognizes that the authorship of textbooks might be considered, for performance evaluation purposes, as a contribution in either teaching or scholarship. The college's policy is that a textbook may be categorized under either teaching or scholarship, but not both. Textbooks to be categorized under teaching usually will be those that advance the pedagogy and instructional practices in a given subject area. Textbooks to be classified under scholarship usually will be those that significantly advance knowledge or create new knowledge in a subject matter area. It is the responsibility of the individual faculty member to indicate whether his or her authored textbook should be categorized under teaching or scholarship, and to justify that categorization.

Appendix II

Policy Statement on Engagement and Outreach

Faculty involvement in engagement and outreach activities is consistent with the University and College missions, and is therefore encouraged. Accordingly, the College views engagement and outreach activities as worthwhile contributions for reappointment, tenure, and promotion purposes, and intends to reward its faculty for quality outreach work. Engagement and outreach work can involve teaching,

scholarship, and/or service depending upon the nature of the activity and the faculty member's involvement therein. Therefore, it is the responsibility of the individual faculty member to indicate whether his or her engagement and outreach activities should be categorized as teaching, scholarship, and/or service, and to justify that categorization. Faculty should bear in mind that in order for engagement and outreach activities to count as scholarship, the outcomes must be clearly documented in writing (publication, technical report, consulting report, etc.), peer-reviewed, and disseminated to others.

IV. Evaluation Procedures for Reappointment and Tenure

1. Each probationary faculty member in the Pott College of Science, Engineering, and Education will be evaluated (see General University Probationary Period and Evaluation Timelines section below) by a personnel committee consisting of at least three tenured faculty members. This personnel committee will be selected by the chair of the probationary faculty's home department. The three tenured faculty on the personnel committee will be selected from those within the home department, but under circumstances when the number of available tenured faculty is less than three, tenured faculty from other departments within the Pott College may be selected with approval from the dean. If there is an insufficient number of tenured faculty available within the Pott College, or the probationary faculty's discipline warrants, one or more committee members may be selected by the chair from outside the Pott College with dean approval. Should a tenured faculty member within the home department become available, the chair has the option to replace any committee member from outside the home department with this tenured faculty member.

2. Using the evaluation timeline below (see General University Probationary Period and Evaluation Timelines General evaluation timeline section below), the personnel committee will review the evaluatee's academic accomplishments in the areas of teaching, scholarship and professional activity, and service. Following this review, the committee will forward its written evaluation and recommendations to the department chair for consideration. The department chair will independently review the evaluatee in the areas of teaching, scholarship and professional activity, and service. Following this review, the department chair will forward his/her written evaluation and recommendations, along with the personnel committee evaluation and recommendation to the dean for consideration. The dean will independently review the evaluatee in the areas of teaching, scholarship and professional activity, and service. The dean will forward his/her written evaluation and recommendation, along with the chair and personnel committee reviews to the provost and vice president for Academic Affairs for consideration.
3. For each evaluation, the personnel committee and department chair will send a letter to the evaluatee to convey the annual evaluation results. Letters must provide feedback to the evaluatee on his/her progress to date in the areas of teaching, scholarship and professional activity, and service. Separate paragraphs must address each of these three areas of faculty endeavor and comment on strengths and/or weaknesses evident in each. Suggestions for addressing any deficiencies noted in any area should be included. Also, the letter should include a summary paragraph indicating the recommendation to the dean regarding the candidate's reappointment or tenure, as appropriate. The committee and department chair will provide an opportunity to meet with the candidate to discuss the evaluation results; however, meetings may not substitute for the written evaluation letters. A copy of the

committee and department chair letters to the evaluatee will be included in the candidate's personnel file. At the beginning of each academic year, the dean will announce dates when committee and department chair evaluations and recommendations will be due.

4. The dean will review the evaluatee in the areas of teaching, scholarship and professional activity, and service. In addition, the dean will review the committee and department chair evaluations and recommendations, and determine whether or not the evaluatee should be recommended to the vice president for Academic Affairs for reappointment and/or tenure. The dean will send a letter to the evaluatee to convey the results of his/her review and recommendations. A copy of the dean's letter will be sent to the appropriate department chair. In addition, the dean will meet individually with the evaluatee to discuss the overall evaluation and, if appropriate, the candidate's progress toward tenure.

V. General University Probationary Period and Evaluation Timelines

During the probationary period, the appointee is given sequential term appointments of two two-year appointments and a final appointment of three years.

1. The notification of reappointment or non-reappointment during the first two-year probationary appointment shall be dated not later than December 15 of the second year of the first two-year appointment. The notification of reappointment or non-reappointment during the third or later year of probation shall be dated not later than 12 months before the expiration of the appointment. (The notification shall be by first-class mail.)

2. Any interruption of the probationary period, reducing the academic year to less than a full-time service period, will result in a delay of tenure eligibility until the entire probationary period has been completed.
3. During the probationary period, the faculty member shall have the same academic freedom enjoyed by all other members of the faculty.
4. During the probationary period, faculty members will be notified of weaknesses, evidences of unsatisfactory service, or any condition that might serve as a basis for non-renewal of their appointment at all levels of evaluation.
5. Service under a part-time or adjunct appointment shall not be counted as part of the required probationary period of service.
6. Faculty members on term appointments may submit their resignation prior to the official notification of non-renewal of their appointment.
7. A leave of absence without pay granted during the probationary period will delay tenure eligibility.
8. If an appointee is granted one year of credit for service at another accredited institution of higher education, the initial appointment shall be for one year. The appointee will receive notice of reappointment or non-reappointment by March 1 during the first year for a subsequent probationary two-year appointment. Assuming satisfactory performance during the two-year contract, the appointee will be eligible for a final probationary three-year appointment.

9. If an appointee is granted two years of credit for service at another accredited institution of higher education, the initial appointment shall be for two years. The appointee will receive notice of reappointment or non-reappointment to the final probationary three-year appointment by December 15 of the second year of the initial two-year appointment.

10. If an appointee is granted three years of credit for service at another accredited institution of higher education, the initial appointment shall be for one year. Before the end of the first year, the appointee will receive notice of reappointment or non-reappointment by March 1 for a final probationary three-year appointment.

VI. Evaluation Procedures for Promotion

I. General Guidelines

1. General policies, procedures, criteria, and deadlines governing faculty promotions are outlined in the *University Handbook*. In addition, specific dates and deadlines pertaining to the promotions process are listed in the University's Calendar for Personnel Decisions developed annually by the provost and vice president for Academic Affairs.

2. According to University and College guidelines, faculty under consideration for promotion must document their professional accomplishments in three major areas: 1.) teaching, 2.) scholarship and professional activity, and 3.) service. Therefore, each promotion applicant must prepare a comprehensive promotion application dossier to indicate how he/she meets the University's promotion criteria for the academic rank sought. The specific format of the

promotion dossier is left to the discretion of the applicant. However, to document the scope and quality of their performance in teaching, college faculty are encouraged to develop a teaching portfolio prepared according to commonly accepted standards. Information on the preparation of teaching portfolios may be found in the following references:

Seldin, P. 1991. *The Teaching Portfolio: A Practical Guide to Improved Performance and Promotion/Tenure Decisions*. Bolton, MA: Anker Publishing Co., Inc.

Seldin, P. 1993. *Successful Use of Teaching Portfolios*. Bolton, MA: Anker Publishing Co., Inc.

3. Each faculty member wishing to be considered for promotion in rank in a particular academic year should notify the dean and his/her department chair of that intention as early as possible. Notification should take place no later than the time the faculty member procures the official promotion application form from the Office of the Provost and Vice President for Academic Affairs.
4. College Promotions Committee will be formed under the following guidelines.
 - a. The College Promotions Committee will consist of one member from each of the seven departments within the Pott College of Science and Engineering.
 - b. Each Department will vote on their representative to the College Promotions Committee at the beginning of each academic year (August or September). Members of the College Promotions Committee must be tenured and hold rank of associate professor or professor.

- c. The College Promotions Committee shall exclude department chairs.
- d. If a member of the College Promotions Committee serves on an evaluatee's personnel committee, he/she must abstain from voting on that evaluatee.
- e. At their first meeting, the College Promotions Committee will elect a chair from amongst the seven departmental representatives.
- f. The college representative to the University Promotions Committee and the associate dean will serve as ex-officio members of the College Promotions Committee.

II. Specific Guidelines

A. Promotion to Associate Professor

1. Since promotion from assistant to associate professor is generally considered at or near the time the candidate is considered for tenure, the same personnel committee that performs annual reviews and the tenure evaluation will also evaluate the candidate for consideration of promotion (*See Faculty Evaluation Procedures for Reappointment and Tenure*). If a candidate seeks promotion from assistant to associate professor at a time after consideration for tenure, the personnel committee will not be reconstituted. In this case, the candidate will be evaluated by the department chair, College Promotions Committee, and the dean. These evaluations and the candidate dossier will be forwarded to the University Promotions Committee and the provost.
2. The personnel committee will examine the candidate's application dossier and will review the evaluatee's academic accomplishments in the areas of teaching, scholarship and professional activity, and

service. Following this review, the personnel committee will forward its written evaluation and recommendation to the department chair who will provide an independent evaluation and recommendation. The department chair will forward all evaluations and recommendations to the dean who will provide the information to the College Promotions Committee. The College Promotions Committee will evaluate the candidate in the areas of teaching, scholarship and professional activity, and service and forward all written documentation to the dean for consideration.

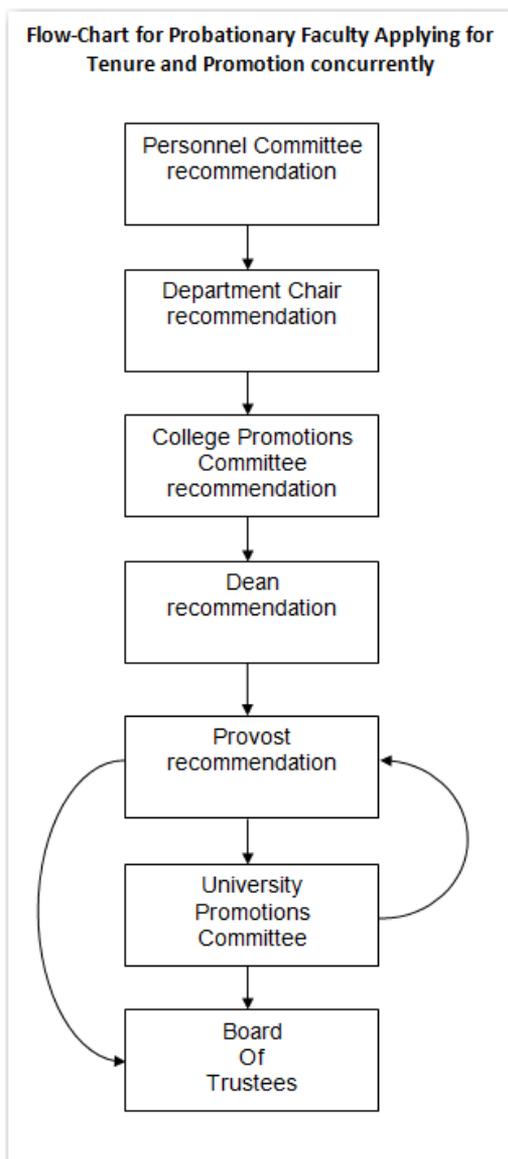
3. The personnel committee, department chair, and College Promotions Committee will each send a letter to the evaluatee to convey the evaluation results and the recommendations made to the dean. If the candidate is being considered for tenure simultaneously with promotion, the results of both evaluation considerations may be incorporated in the same letter. The personnel committee, department chair, and College Promotions Committee will provide an opportunity for the candidate to discuss the evaluation results; however, meetings may not substitute for written evaluation letters. A copy of all letters to the evaluatee should be sent to the dean for inclusion in the candidate's college personnel file. At the beginning of each academic year, the dean will announce dates when committee and department chair evaluations and recommendations will be due.
4. The dean will review the evaluatee in the areas of teaching, scholarship and professional activity, and service. In addition, the dean will review all associated evaluations and recommendations, and determine whether or not the evaluatee should be recommended to the provost and vice president for Academic Affairs for promotion. The dean will send a letter to the evaluatee to convey the results of his/her review and recommendations. A copy of the dean's letter will be sent to the appropriate department chair. The

dean will meet individually with the evaluatee to discuss the overall evaluation.

B. Promotion to Professor

1. Faculty members wishing to be considered for promotion to the rank of professor will be evaluated by the department chair, College Promotions Committee, and dean.
2. The department chair will examine the candidate's application dossier and will review the evaluatee's academic accomplishments in the areas of teaching, scholarship and professional activity, and service. Following this review, the department chair will send a written evaluation and recommendation to the dean for inclusion in the evaluatee's dossier.
3. The College Promotions Committee will examine the candidate's application dossier will review the evaluatee's academic accomplishments in the areas of teaching, scholarship and professional activity, and service. Following this review, the committee will forward its written evaluation and recommendation to the dean for consideration.
4. The College Promotions Committee and department chair will send a letter to the evaluatee to convey the evaluation results and the recommendations it has made to the dean. The committee will provide an opportunity for the candidate to discuss the evaluation results; however, meetings may not substitute for the written evaluation letter. A copy of the committee's letter to the evaluatee should be sent to the dean for inclusion in the candidate's personnel file.

5. The dean will review the committee's evaluation and recommendations, and determine whether or not the evaluatee should be recommended to the provost and vice president for Academic Affairs for promotion. The dean will also send a letter to the evaluatee to convey the results of his/her review and recommendations. A copy of the dean's letter will be sent to the appropriate department chair. In addition, the dean will meet individually with the evaluatee to discuss the overall evaluation.

VII. Flow Charts for Promotion and Tenure

Flow-Chart for Non-Probationary Faculty Applying for Promotion

(Tenured Assistant Professor → Tenured Associate Professor)

(Tenured Associate Professor → Tenured Professor)

