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FACULTY SENATE MEETING

February 3, 2014

3:00 – 4:30 p.m.

Merrill-Cazier Library 154

Agenda

- 3:00 Call to Order.....Yanghee Kim**
Sign the Roll
Approval of Minutes January 6, 2014
- 3:05 Announcements**
1. Contact the Faculty Senate – Electronic Form is already on the FS Webpage...Yanghee Kim
2. BFW work changing service component of role statement.....Alan Stephens
3. Nominations of FS President-Elect.....Yanghee Kim
- 3:10 University Business.....Stan Albrecht, President**
Noelle Cockett, Provost
- 3:25 Consent Agenda.....Yanghee Kim**
1. Scholarship Advisory Board report – Taya Flores
2. EPC Items for January – Larry Smith
- 3:35 Old Business**
1. Code change to 402.12.5(1) Referencing Policy 202 (Second Reading)....Stephen Bialkowski
- 3:40 New Business**
1. Open Nominations for Faculty Shared University Governance Award.....Yanghee Kim
2. FS Attendance Issues.....Robert Schmidt
3. FEC Feedback on Faculty Code 405.12 Post Tenure Review Proposal.....Karen Mock
4. AFT Feedback on Faculty Code 405.12 Post Tenure Review Proposal.....Bryce Fifield
5. Discussion to ascertain Senate's position on the 405.12 Code Proposal.....Yanghee Kim
- 4:30 Be sure you have signed the Roll--Adjournment**



**USU FACULTY SENATE
MINUTES
JANUARY 6, 2014
Merrill-Cazier Library, Room 154**

Call to Order

Yanghee Kim called the meeting to order at 3:00 pm. The minutes of December 2, 2013 were approved.

Announcements – Yanghee Kim

Roll Call. Members are reminded to sign the role sheet at each meeting.

University Business – President Stan Albrecht, Noelle Cockett

President Albrecht asked Vice President of Student Services James Morales to update the senate on Spring Semester enrollment. Currently enrollment is down just 180 students, which is much better than expected. Final enrollment numbers will be made available after the third week of the semester. Enrollment applications are up for the upcoming Fall 2014 semester, due in large part to the out-of-state recruitment efforts.

Founders Day is March 7. USU Alumni and Nobel Prize winner Lars Hansen has been invited to speak at the Founders Day event. The activities will largely be a celebration of USU students and faculty.

The faculty luncheons with the President and visits to departments are going well.

Provost Cockett updated the senate on the Student Completion Initiative. They have been looking at bottleneck courses, wait-listing and other issues that impact student completion. One result of this is that the tuition plateau is being lowered from a 13-18 credit block to a 12-18 credit block thus giving students an incentive to take more credits each semester. As well, we are moving online courses to the plateau table rather than having them on a separate table. Provost Cockett will be visiting with the FSEC about these and other issues.

Consent Agenda Items – Yanghee Kim

Council on Teacher Education Annual Report – Francine Johnson. Francine briefly highlighted some of the items from the report. They have adopted a new Literacy Teaching Minor because of requests from school districts to help deal with low ability readers. They have discontinued the Psychology and Sociology teaching majors, but maintained the minors in both areas. They enacted policy changes to clarify that student teachers cannot be paid during their student teaching time. Overall, ACT scores for their programs are higher than the general freshman population, there has been a 7.6% increase in graduates recommended for licensing, and their overall placement rate is 89%.

EPC December Report – Larry Smith. EPC reviewed 8 R401 requests, all short form, one of which was a proposal to eliminate the requirement that all students complete two USU courses for graduation. Larry clarified that the proposal is not to eliminate USU courses or any General Education courses, only the USU requirement. EPC participated in an exhaustive discussion on the issue, and it passed with unanimous support. This change came about due to the emphasis on student completion. As well, due to scheduling issues, the requirement is often waived for

graduates; in one graduating class 37% of students had the requirement waived. They expect no dramatic shift in USU course enrollments due to the change.

Doug Jackson-Smith made a motion to approve the consent agenda, Vince Wickwar seconded and the motion passed unanimously.

Information Items

Code Revision Process, Policy Manual 202 – Yanghee Kim. Yanghee included the code revision process section of the code for the senator's information.

Updates of Code Revision to 405.12 Post Tenure Review Process – Yanghee Kim. The most recent proposal from the Post-Tenure Review Task Force is included in the agenda packet. It is the same proposal that was shared at the Faculty Forum in November. The FSEC voted at their last meeting to send the proposal to FEC and AFT for review. They expect feedback from these committees by the end of January.

Old Business

PRPC Section 402.4.3 Changes in Wording in FS Meeting Order of Business (Second Reading) – Stephen Bialkowski. No discussion.

A motion to approve was made by Renee Galliher and seconded by Doug Jackson-Smith. The motion passed unanimously.

PRPC Section 405.6.1 Changes to Wording in Role Statement and Role Assignment (Second Reading) – Stephen Bialkowski. A brief discussion about possible unintended consequences and how it would affect extension faculty occurred. Doug Jackson-Smith stated that the intended interpretation is for faculty to have control over approving their role statement.

A motion to approve was made by Terry Peak and seconded by Sheri Haderlie. The motion passed with one vote to the contrary.

PRPC Updating ASUSU to USUSA in all 400 Sections of Code (Second Reading) – Stephen Bialkowski.

A motion to approve was made by Andy Walker and seconded by Robert Schmidt. The motion passed unanimously.

PRPC Section 402.12.5(1) Addition of Sentence Referring to Policies in Section 202 (First Reading) – Stephen Bialkowski. No vote taken, informational only.

New Business

Yanghee opened the floor to the senators. A senator inquired if any consideration had been given to making USU a smoke-free campus. Noelle responded that this issue has come forward to the President and gone to the Executive Council. No decision has yet been made, but there is concern that a completely smoke-free campus would not be inviting to international students. There are currently several designated smoking areas. It was suggested to the senator that the issue is outside of faculty code 400 sections, thus not under the purview of FS.

Adjournment

The meeting adjourned at 3:53 pm.

402.7 SENATE PRESIDENT, PRESIDENT-ELECT, AND PAST PRESIDENT

7.4 Eligibility and Term

The Senate President-Elect/President shall be elected annually from and by elected Senate members, as provided in policy 402.10.3, to serve for a three-year, non-renewable term. During the first year he/she shall serve as the Senate President-Elect, during the second year shall be the Senate President, and during the third year shall serve as Past President.

Any elected senator who is completing or has completed one year of a faculty Senate term is eligible to serve as President-Elect/President, subject to the following exceptions: Senators who are completing their terms are not eligible, unless they have been re-elected to the Senate for an additional term. The election of the Senate President-Elect/President is understood to be an extension of that individual's term in the Senate for the number of years necessary to fulfill a term as Senate President. If an extended term is necessary for the new Senate President, then the individual so chosen will become a supernumerary member of the Senate and the regular schedule of elections to the Senate from that individual's college will be unaffected.

Utah State University

Final tenure consideration: 20xx-20xx

The USU Faculty Code requires that a role statement “be prepared by the department head or supervisor, agreed upon between the department head or supervisor and the faculty member at the time he or she accepts an appointment, and approved by the director (where applicable) or dean” (Section 405.6.1). Initial role statements can be changed or modified using the procedures described in the Faculty Code (see Section 405.6.1).

The Faculty Code indicates that a role statement “shall include percentages for each area of professional service” (Section 405.6.1). The areas of professional service refer to the traditional domains of faculty responsibility at land-grant universities like USU (i.e., [1] ***teaching*** – including classroom instruction and the advising and mentoring of both undergraduate and graduate students; [2] ***research and creative endeavors***; [3] ***extension*** – sponsored by Utah State University Cooperative Extension; and [4] ***service*** – including academic unit operations, campus governance, service to professional organizations, and professional involvement with community-based agencies and organizations). The percentages reflect the relative weight or value that will be allocated to each professional service area when you are evaluated for tenure and promotion. You should carefully consider the amount of time you allocate to each area, as it is your responsibility to ensure that your efforts produce outcomes that are commensurate with the relative weights reflected in the role statement for each professional area. If you do not have an assigned effort in a domain, you will still be expected to participate in a collegial manner that helps the University achieve its missions. our participation in such a fashion may be considered as service to the university.

While USU is committed to creating an environment in which all faculty members can succeed, probationary faculty members (specifically, assistant professors with tenure eligible appointments) must demonstrate to their USU peers that they can manage the multiple responsibilities of a professor at a research-extensive university. Indeed, the Faculty Code states that a primary function of the role statement is to provide a means by which “the faculty member can gauge his or her expenditure of time and energy relative to the various roles the faculty member is asked to perform in the University” (Section 405.6.1).

Finally, the USU Faculty Code indicates that promotion to the rank of associate professor with tenure is awarded “on the basis by which a faculty member performs his or her role assignment” (Section 405.2.2). Specifically, the Code states that “Each candidate must present evidence of *effectiveness* in all of the professional services which he or she performs, and must present evidence of *excellence in the major emphasis* of his or her role statement” (Section 405.2.2; italics added for emphasis). Thus, all role statements must state explicitly which domain of responsibility is the *major emphasis* for the faculty member and, thus, in which area the faculty member will be expected to perform with *excellence*.

As indicated previously, tenure-eligible faculty members are expected to contribute to the service mission of the University. However, the Faculty Code states that: “Although such activities are vital to the mission of the University, they are not expected to constitute a major emphasis in the role statement for tenure-eligible faculty” (Section 405.2.2.4). Thus, the major emphasis for an untenured assistant professor can only be in the domains of *research*, *teaching*, or *extension*.

Performance Evaluations

During your probationary period at Utah State, you will be expected to perform to expectations in all domains of your faculty responsibilities. In order to be tenured and promoted to Associate Professor, ~~Y~~you will be expected to perform with *excellence* in your major area of emphasis and with *effectiveness* in the other domains which you have an assigned role. Failure to reach

expectations in any domain is cause for dismissal. Indeed, as your probationary period continues, USU expectations will increase. That is, as you progress in your career and become more proficient at balancing your multiple responsibilities, your productivity should increase and expectations of your performance will change concomitantly.

You will receive ~~annual~~-performance evaluations from your Tenure Advisory Committee and your Department Head each year that will provide you with feedback on the progress that you are making towards tenure and promotion. In addition, in the third year of your appointment, the University will undertake a more extensive review of your ~~performance trajectory toward tenure and promotion~~. During your probationary period, if you are not making adequate progress ~~toward promotion and tenure~~, your contract may be terminated. Finally, at an appropriate time (but no later than the sixth year), the University will make a final decision regarding your promotion and tenure at Utah State University. The details of this final review are specified in the Faculty Code (see Section 405.7).

Concluding Statement

Once you achieve tenure and promotion to Associate Professor, we expect you to demonstrate the high level of productivity and performance necessary to attain promotion to the rank of Professor. Once you attain that distinction, we further expect you to continue to be a highly productive and effective member of the University community throughout the remainder of your professional career.

Expectations for Teaching (Relative weight = xx%)

Teaching is a major university function, and USU takes very seriously its commitment to teaching. Teaching is the major emphasis of your role statement; therefore, you are expected to perform with excellence in this domain in order to be tenured and promoted to Associate Professor. Specifically, you will be expected to establish superior credentials as an instructor, advisor, and mentor. Your specific teaching assignment will be determined each year by the department head and will reflect the academic needs of the department combined with your areas of expertise.

[Alternative statement: Teaching is a major university function, and USU takes very seriously its commitment to teaching. Teaching is included as part of your role at USU; therefore, you are expected to perform with effectiveness in this domain in order to be tenured and promoted to Associate Professor. Your specific teaching assignment will be determined each year by the department head and will reflect the academic needs of the department combined with your areas of expertise.]

The following elements are commonly associated with success in teaching:

- Steady and consistent record of teaching activity. Documentation supporting teaching activity is described in USU Faculty Code 405.2.2(1), and is generally outlined within the template for presenting promotion and tenure documentation.

- A current trend in academe is to develop and maintain a teaching portfolio containing materials that illustrate your teaching philosophy, use of pedagogy, and overall effectiveness. You should develop a teaching portfolio and include information such as student outcomes, portfolios of student work, course projects, written course materials, contributions to the USU honors program, and examples of out-of-class interactions with students.
- Assessment of teaching activity. Systematic and repeated evaluation of your classroom effectiveness is required from students and peers. Documentation is expected of your response to these evaluations, and of changes to your instruction that you made as a result of such feedback.
- Student evaluations are required of each course and section every semester. Positive student evaluations of your classroom performance attest to your ability to create an environment that invites student learning. Improvement in your student evaluations is expected as you gain experience, and university colleagues will look for patterns of consistency in your student evaluations. A successful profile will reflect either ongoing improvement in teaching or consistently high levels of performance. Significant fluctuations in student evaluations from semester-to-semester will require an explanation.
- Continued development of teaching skills. Efforts to develop teaching skills, and to keep current on content in the field, bear out a dedication to high-quality teaching. Such efforts include attending training workshops on pedagogy and seminars that provide updates to current knowledge and trends in your discipline.
- Engagement with student learning outside the classroom. This may take many different forms such as involving students in your scholarly activities, supervising independent study, advising student organizations, or consulting with students regarding their evolving careers.
- Advancement of pedagogy for teaching within your field. Contributions might include such things as authorship of refereed articles on teaching, and development of peer-reviewed media packages or computer programs. These items represent creative scholarship, and are critically important to developing a positive professional reputation in teaching.
- Participation in development of curricula. A department's academic program is ever changing, and you are expected to participate in curriculum development in a substantive and collegial manner. This includes development of your assigned courses in a fashion consistent with program learning objectives.
- A positive professional reputation based on your teaching activity. You should be able to articulate a philosophy of teaching that communicates your approach to instruction and describes your primary goals as a teacher, advisor and mentor. This philosophy should

be recognized from the body of work arising from your teaching activity, and it should be echoed by your peers when describing your teaching.

- Ability to attract graduate students and to mentor them to the successful completion of their degree and publication of their research. This is generally expected for those having a research appointment, and is preferred in units offering a graduate degree in your area of expertise.

Expectations for Research or Creative Endeavors (Relative weight = xx%)

Research and creative endeavors encompass a wide variety of scholarly activities that lead to the advancement of knowledge. Research and creative activities represent the major emphasis of your role statement; therefore, you are expected to perform with excellence in this domain in order to be tenured and promoted to Associate Professor. Specifically, you are expected to develop a high-quality program of research and scholarship that is consistently productive, self-sustaining, and nationally recognized for excellence.

[Alternate statement: Research and creative activities encompass a wide variety of scholarly activities that lead to the advancement of knowledge. Research and creative activities are part of your role at USU; therefore, you are expected to perform with effectiveness in this domain in order to be tenured and promoted to Associate Professor.]

The following elements are commonly associated with success in research/creative endeavors:

- Steady and consistent record of research and creative endeavors supporting your scholarly activity. Any periods of time without significant record of scholarly activity will require explanation. Documentation supporting scholarly activity is described in USU Faculty Code 405.2.2(2), and is generally outlined within the template for presenting promotion and tenure documentation. Commonly recognized documentation includes authorship of peer-reviewed materials (books, book chapters, journal articles), invited authorship of review articles, participation in symposia, intellectual contributions represented by patents, inventions and other intellectual property, and success in competition for extra-mural funding.
- Continued development of your scholarly activity. Development includes such things as obtaining extramural funding sufficient to sustain an upward trajectory of research and creative output, systematic accumulation of a body of research and creative works such that later work builds upon earlier work, and leadership for your research and creative endeavors independent of earlier mentors.
- Advancement within your field of inquiry owing to your scholarly activity. Peers will judge your research and creative works for innovation, scientific rigor, and contribution of new knowledge. One indicator is the reputation and stature of the academic and scientific venues chosen as outlets for your works.

- Positive professional reputation based on your scholarly activity. There should be a focused and coherent theme in the body of your research and creative works that establishes your professional reputation and expertise. You should be able to clearly articulate this theme, and it should be echoed by yours peers when describing your works and expertise.
- Regular reports of research activities to the Department Head, the Director of the Utah Agricultural Experiment Station (UAES) if you have an UAES project(s), and contract granting agencies as appropriate. Reporting takes the form of annual or quarterly reports as required by your Department Head or contract granting agency and annual CRIS reports in the case of the UAES.

Expectations for Extension (Relative weight = xx%)

Extension activity represents the major emphasis of your role statement; therefore, you are expected to perform with excellence in this domain in order to be tenured and promoted to Associate Professor. As an Extension Specialist, you will provide the public, primarily within the state, with research-based information and other university resources. You are expected to contribute to the Extension activities of the department and serve as a liaison between the department and Extension agents across the state.

[Alternate statement: Extension activity has been identified as part of your role at USU; therefore, you are expected to perform with effectiveness in this domain in order to be tenured and promoted to Associate Professor. As an Extension Specialist, you will provide the public, primarily within the state, with research-based information and other university resources. You are expected to contribute to the Extension activities of the department and serve as a liaison between the department and Extension agents across the state.]

To meet with success in this domain, you should:

- Implement and direct major programs in your area of expertise. These programs employ a multi-faceted approach to take needed information to a specific clientele throughout Utah. Within each of your major programs, you will be expected to:
 - Employ innovative dissemination that reaches diverse audiences. These approaches may include fact sheets, professional journal publications, video, CD, DVD, websites, computer assisted programs, radio, and TV. It is noteworthy when information from your major program is utilized outside of Utah, on a regional or national basis.
 - Provide appropriate client “training” with emphasis on long-term, sequential sessions. Short, stand-alone programs create some awareness but do not usually sustain change. Longer term, repeat programs are more effective at sustaining change and creating measurable impacts. It is understood that some long-term programs may involve more facilitation than presentation.

- Document impacts of your major programs. To do this, obtain current "benchmarks" early in the development of the program, which can be used later to monitor progress and impact. The impact may be described as results, actions or changes that occurred because of participation in your program.
 - Work with Extension agents across the state. Long-term impacts and program exposure are expanded when specialists collaborate with Extension agents. Therefore, you should collaborate with Extension agents when developing, designing, marketing, and presenting programs and events across the state. You should provide updates and in-service training to agents on the latest research, national Extension initiatives, and issues in your academic discipline.
 - Manage budgets and staff. Many programs use volunteer and professional staff to extend outreach. In addition to staff, you should recruit, develop and utilize volunteers when necessary and recognize their efforts. You should also appropriately manage financial resources.
 - Generate outside funding. Grant writing and generation of outside funds may be essential to the continuance of your major programs. Identifying needs or issues that are on a rising crest of interest will often lead to available sources of funding.
- Communicate with and obtain input from Extension agents and other Extension specialists about emerging needs, issues and trends related to your area of expertise. Stay current in your discipline through the professional literature and participation in professional societies. Ensure that information you provide to the public is based on the latest research-based information in your area of expertise. Disseminate this information on emerging issues through newsletters, educational packets, presentations, and media packet articles.
 - Provide regular reports of Extension activities to the Department Head and the Vice President for Extension. These reports are provided annually or quarterly as required by the Department Head and your Program Leader and are filed through the myFOCIS3 system.
 - Respond to client requests for assistance or information. As an Extension Specialist with a specific area of expertise, you will be contacted by other Extension personnel, agencies, producers, home owners, and other clientele for information, assistance with specific problems and for presentations at meetings. It is critically important to respond to these requests, and when necessary to find new methods of delivery or multiply your knowledge and information through others. However, it is vital to balance the time you spend meeting this demand for information with the time necessary to effectively develop, implement, and evaluate major programs in order to have measurable impacts.
 - Develop a professional reputation in your area of expertise. There should be a focused and coherent theme in the body of your extension work that establishes your professional reputation and expertise.

- Demonstrate scholarship in Extension. This is broadly defined as creative activity in the development and/or application of extension materials. Scholarship will primarily be demonstrated through peer reviewed professional and Extension publications and curriculum materials of many forms. Extension scholarship goes beyond the simple delivery of prepared extension materials, and involves a measure of needs assessment, either the development of new instructional material or the significant adaptation of existing instructional material, appropriate delivery, thorough evaluation, and continued revision as warranted.

It is important that your extension information is disseminated, and that it validated by your peers for originality and quality. This external validation can be accomplished in many ways, including (but not limited to):

- Adoption by other extension personnel.
 - Publication of application case studies or curricula in peer reviewed journals or in other peer reviewed outlets.
 - Receipt of awards from extension professional associations at the state, regional, or national level.
- As an employee of Utah State University Extension, it is required that all public programs which are planned, designed, developed, and offered will serve individuals regardless of race, color, religion, sex, national origin, age, disability, veteran's status, and sexual orientation. When individuals with disabilities request accommodation, Extension employees will make every reasonable accommodation that allows program participation. Extension programs will be designed to include minority and under-served groups.

Annual performance reviews for Extension employees will measure efforts undertaken to ensure implementation of the Civil Rights Laws, USDA Civil Rights requirements, and USU Affirmative Action/Equal Opportunity Policy (USU Policy 303).

Expectations for Service (Relative weight = xx%)

Service activities are vital to the mission of the University; therefore, tenure-eligible faculty must participate in service. These activities include effective participation in the operation and **shared** governance of the University (**as per 401.8.1(4)**), and in the outreach mission of the University. Service activities also include effective participation in organizations relating to your academic profession. Service represents **a minor, but important, an important component** of your role. Service is not expected in all of these areas but, rather, some combination that represents the relative weight that is equivalent to the percent that you have been assigned in this domain. ~~However, meeting the demand for service should not consume so much of your time that it detracts from your other responsibilities.~~

In judging your efforts in the service domain, your Utah State University colleagues will look for evidence of your contributions to a variety of significant and meaningful service. Examples of service activities are described in Faculty Code 405.2.2(4) and may include:

- ~~Service as a member or leader of substantive departmental, college and university committees and organizations.~~
- Service that supports the academic mission of the university such as a member, advisor or leader of service and student clubs, international student experiences and undergraduate Honors projects.
- Service as a member or leader of departmental, college and university committees such as curriculum, awards, search and tenure advisory committees.
- Service as a member or leader of faculty organizations, including USU Faculty Senate.
- Service to regional or national professional societies and organizations in your field of expertise as evidenced by committee membership and/or holding elected or appointed office.
- Service as a reviewer of manuscripts or editor to a scientific or professional publication.
- Service as a reviewer of grant proposals for an agency or professional organization.
- Service as a consultant to local, regional, national or international organizations and agencies.
- Service on behalf of the outreach mission of Utah State University through public speaking and/or information dissemination involving your professional expertise.
- Service on local, regional, national or international advisory or governing boards that reflect your professional expertise.

The undersigned have reviewed and accepted the conditions that are stated or implied in this role statement.

Signature of Department Head

Date

Signature of Dean

Date

Signature of Candidate

Date

Annual Renewal of Role Statement:

DH Initials/Date

Dean Initials/Date

Faculty Member Initials/Date

DH Initials/Date

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SCHOLARSHIP YEAR END REPORT FOR 2012-13

Undergraduate scholarships reported by college. Waivers are awarded by the Admissions Office according to legislative mandates and university policy. College and departmental awards are determined at the college/department level from endowments or cash accounts.

Scholarship Type	# of Recipients	\$AMOUNT	Change from 2011/12, Recipients	Change from 2011/12, Amount
COLLEGE OF AGRICULTURE AND APPLIED SCIENCES				
WAIVERS: University In-State Tuition (10% Waivers)	157	\$ 478,255	-4%	3%
WAIVERS: ISU/USU, 100 Mile Radius, WUE, SB170 , & HB75	66	\$ 606,172	-10%	9%
WAIVERS: Alumni Legacy Scholarship	74	\$ 695,838	17%	19%
Other Admissions Scholarships	117	\$ 234,231	-13%	-21%
Departmental Scholarships	246	\$ 493,317	16%	65%
Other USU Scholarships	79	\$ 425,872	10%	31%
Cash from Outside Sources	116	\$ 261,945	5%	27%
Total Unduplicated Recipients*	627	\$ 3,195,628	7%	17%

CAINE COLLEGE OF THE ARTS				
WAIVERS: University In-State Tuition (10% Waivers)	138	\$ 392,945	0%	-7%
WAIVERS: ISU/USU, 100 Mile Radius, WUE, SB170 , & HB75	37	\$ 376,907	-46%	-35%
WAIVERS: Alumni Legacy Scholarship	49	\$ 440,848	-4%	-5%
Other Admissions Scholarships	95	\$ 164,215	-14%	-29%
Departmental Scholarships	273	\$ 615,101	1%	21%
Other USU Scholarships	71	\$ 280,945	25%	14%
Cash from Outside Sources	69	\$ 137,834	-21%	-34%
Total Unduplicated Recipients*	493	\$ 2,408,795	-7.33%	-10%

EMMA ECCLES JONES COLLEGE OF EDUCATION AND HUMAN SERVICES				
WAIVERS: University In-State Tuition (10% Waivers)	383	\$ 1,175,107	-17%	-8%
WAIVERS: ISU/USU, 100 Mile Radius, WUE, SB170 , & HB75	113	\$ 1,016,414	-18%	-10%
WAIVERS: Alumni Legacy Scholarship	171	\$ 1,715,568	16%	28%
Other Admissions Scholarships	260	\$ 448,234	-20%	-27%
Departmental Scholarships	290	\$ 723,527	23%	32%
Other USU Scholarships	143	\$ 369,712	-12%	21%
Cash from Outside Sources	257	\$ 596,240	-9%	-7%
Total Unduplicated Recipients*	1,202	\$ 6,044,801	-5%	3%

COLLEGE OF ENGINEERING				
WAIVERS: University In-State Tuition (10% Waivers)	392	\$ 1,233,512	-3%	7%
WAIVERS: ISU/USU, 100 Mile Radius, WUE, SB170 , & HB75	88	\$ 929,756	-29%	-11%
WAIVERS: Alumni Legacy Scholarship	102	\$ 990,290	38%	51%
Other Admissions Scholarships	305	\$ 647,761	-11%	-9%
Departmental Scholarships	334	\$ 658,499	40%	71.40%
Other USU Scholarships	142	\$ 872,537	-4%	-9%
Cash from Outside Sources	217	\$ 536,035	2%	7%
Total Unduplicated Recipients*	985	\$ 5,868,391	4%	9%

COLLEGE OF HUMANITIES AND SOCIAL SCIENCES				
WAIVERS: University In-State Tuition (10% Waivers)	264	\$ 892,820	-2%	10%
WAIVERS: ISU/USU, 100 Mile Radius, WUE, SB170 , & HB75	55	\$ 546,424	-32%	-21%
WAIVERS: Alumni Legacy Scholarship	106	\$ 1,006,587	16%	30%
Other Admissions Scholarships	215	\$ 417,365	-9%	-23%
Departmental Scholarships	213	\$ 469,147	12%	26%
Other USU Scholarships	174	\$ 675,202	34%	26%
Cash from Outside Sources	140	\$ 334,914	-7%	2%
Total Unduplicated Recipients*	834	\$ 4,342,459	1%	6.98%

JON M. HUNTSMAN SCHOOL OF BUSINESS				
WAIVERS: University In-State Tuition (10% Waivers)	288	\$ 1,035,220	58%	105%
WAIVERS: ISU/USU, 100 Mile Radius, WUE, SB170 , & HB75	56	\$ 565,107	-15%	6%
WAIVERS: Alumni Legacy Scholarship	70	\$ 685,868	30%	35%
Other Admissions Scholarships	250	\$ 468,259	-6%	-52%
Departmental Scholarships	271	\$ 709,162	8%	5%
Other USU Scholarships	282	\$ 1,495,074	8%	5%
Cash from Outside Sources	117	\$ 261,507	-9%	-6%
Total Unduplicated Recipients*	814	\$ 5,220,197	1%	7%

Scholarship Type	# of Recipients	\$AMOUNT	Change from 2011/12, Recipients	Change from 2011/12, Amount
S.J. & JESSIE E. QUINNEY COLLEGE OF NATURAL RESOURCES				
WAIVERS: University In-State Tuition (10% Waivers)	37	\$ 122,596	37%	74%
WAIVERS: ISU/USU, 100 Mile Radius, WUE, SB170 , & HB75	17	\$ 168,362	-35%	-28%
WAIVERS: Alumni Legacy Scholarship	27	\$ 286,344	93%	126%
Other Admissions Scholarships	24	\$ 53,482	-4%	0%
Departmental Scholarships	64	\$ 140,960	2%	-9%
Other USU Scholarships	35	\$ 107,928	67%	43%
Cash from Outside Sources	35	\$ 96,415	-8%	12%
Total Unduplicated Recipients*	175	\$ 976,088	15.89%	22%

COLLEGE OF SCIENCE				
WAIVERS: University In-State Tuition (10% Waivers)	241	\$ 783,499	-5%	0%
WAIVERS: ISU/USU, 100 Mile Radius, WUE, SB170 , & HB75	62	\$ 554,933	-21%	-12%
WAIVERS: Alumni Legacy Scholarship	72	\$ 712,764	1%	14%
Other Admissions Scholarships	190	\$ 350,053	-22%	-31%
Departmental Scholarships	110	\$ 284,499	11%	41%
Other USU Scholarships	86	\$ 257,166	34%	8%
Cash from Outside Sources	111	\$ 266,624	-8%	-11%
Total Unduplicated Recipients*	548	\$ 3,209,538	-9%	-2%

TRANSITION MAJORS**				
WAIVERS: University In-State Tuition (10% Waivers)	174	\$ 273,909	-30.40%	-45%
WAIVERS: ISU/USU, 100 Mile Radius, WUE, SB170 , & HB75	69	\$ 597,424	-49%	-43%
WAIVERS: Alumni Legacy Scholarship	141	\$ 1,235,689	13%	18%
Other Admissions Scholarships	130	\$ 251,670	-27%	-3%
Departmental Scholarships	22	\$ 45,655	-15%	61%
Other USU Scholarships	134	\$ 240,436	-1%	-14%
Cash from Outside Sources	199	\$ 413,290	-5%	-12%
Total Unduplicated Recipients*	692	\$ 3,058,073	-12%	-16%

* Indicates the total unique number of students in each college that received an award.

**Transition Majors include Continuing Education and Undeclared Students.

TOTAL FOR EACH ACCOUNT PLUS GRADUATES AND ATHLETES				
Scholarship Type	# of Recipients ⁸	\$AMOUNT	Change from 2011/12, Recipients	Change from 2011/12, Amount
WAIVERS: University In-State Tuition (10% Waivers) ²	2,074	\$ 6,387,864	-3.67%	6.81%
WAIVERS: NR Waivers (ISU/USU, 100 Mile Radius, WUE, SB170 , & HB75) ³	563	\$ 5,361,500	-28.82%	-16.84%
WAIVERS: Alumni Legacy Scholarship ⁴	812	\$ 7,769,795	17.51%	26.72%
WAIVERS: Graduate Students	838	\$ 5,190,994	-0.24%	-9.12%
WAIVERS: Athletics	116	\$ 1,532,200	7.41%	2.15%
SUBTOTAL WAIVERS		\$ 26,242,352		
Other Admissions Scholarships ⁵	1,586	\$ 3,035,270	-14.73%	-27.56%
Departmental Scholarships ⁶	1,823	\$ 4,139,865	15.09%	30.34%
Other USU Scholarships ⁷	1,146	\$ 4,724,872	9.14%	7.90%
Cash from Outside Sources	1,261	\$ 2,904,806	-5.90%	-3.89%
Other Graduate Student Scholarships	465	\$ 1,255,841	23.02%	36.99%
Other Athletics Scholarships	349	\$ 1,767,840	-1.13%	15.42%
SUBTOTAL NONWAIVERS		\$ 17,828,493		
Grand Total¹	6,370	\$ 44,070,845	-17.66%	2.52%

LEGEND FOR 2012-13 SCHOLARSHIP REPORT

¹Indicates the total unduplicated amount of students, total scholarship funding, and the overall changes from the 2011/12 year.

²10%: Legislative approval for 10% of in-state tuition to be awarded as waivers to students.

³ISU/USU, 100 Mile Radius, Western Undergraduate Exchange, SB170 & HB75: \$5852 (ISU), \$2636 (100) and \$4534 (WUES) per semester respectively.

⁴Alumni Legacy Scholarship: Legislative approval for nonresident students with parents whom are Alumni to pay resident tuition (nonresident portion waived).

⁵Other Admissions Scholarships: Waivers not included in 10% or NR, and cash scholarships.

⁶Departmental Scholarship: Funded by endowments, cash or contracts set up by departments.

⁷Other USU Scholarships: Includes Student Support Services, Auxiliaries, Special Programs and Categories and other scholarships that are not categorized as Admissions or Departmental.

⁸# of Recipients: A student may be listed in more than one category due to multiple awards.

Report from the Educational Policies Committee
January 15, 2014

The Educational Policies Committee met on January 9, 2014. The agenda and minutes of the meeting are posted on the Educational Policies Committee web page¹ and are available for review by the members of the Faculty Senate and other interested parties. During the January meeting of the Educational Policies Committee, the following actions were taken:

1. Approval of the report from the Curriculum Subcommittee meeting of January 9, 2014 which included the following actions:
 - The Curriculum Subcommittee approved 43 requests for course actions.
 - A request from the Department of Political Science to establish a Center for the Study of American Constitutionalism was approved.
2. There was no December report from the Academics Standards Subcommittee.
3. Approval of the report from the General Education Subcommittee meeting of December 10, 2013. Of note:
 - The following General Education courses and syllabi were approved:
 - ANTH 4990 (CI)
 - ENGR 3080 (CI)
 - RELS 3050 (DHA/CI; DHA Approved)
 - USU 1330 (BCA, Laura Gelfand)

Changes to Section 402.12.5 (1)

This section is important in that it specifies the role of PRPC in code changes and addresses how code changes are initiated. I would like to modify the description for PRPC in Section 402 to reference this section of code so that future PRPC members could be aware of the process. The amendment to the PRPC description is in red.

12.5 Professional Responsibilities and Procedures Committee (PRPC)

(1) Duties.

The Professional Responsibilities and Procedures Committee shall advise the Faculty Senate regarding composition, interpretation, and revision of Section 400 in University Policies and Procedures. Recommended revisions shall be submitted to the Senate for its consideration. **The procedure for code amendments are specified in Section 202 of the USU Policy Manual.**

(2) Membership.

The membership, election, and appointment of members; term of members; officers; and meetings and quorum of the Professional Responsibilities and Procedures Committee shall be parallel to those of the Academic Freedom and Tenure Committee, as stated in policy 402.12.3(2) through 12.3(5).

2/7/12

USU FACULTY SENATE
Faculty Shared University Governance Award
2012

One of Utah State University's core values is the commitment by faculty and administration to the principle of shared governance. The rationale and responsibilities of shared governance are identified in numerous places within the University Policy Manual (see Section 401.8.1(4): *There is shared responsibility in the governance of the university with a meaningful role for the faculty*). Shared governance engages expertise from faculty, shares information which creates an institutional memory, builds trust, and contributes to an effective and efficient decision making process.

The Faculty Shared University Governance Award is given each year to recognize and emphasize excellence in service to the university. Service activities at the department and college level may become a consideration in the selection process, but the main emphasis will be on excellence in service at the university level that contributes to shared governance as judged by a panel of past presidents of the Faculty Senate.

Criteria

Nominees must be full time faculty members. The following criteria for selection of the nominees shall apply:

1. Excellence in university service over at least three years as supported by letters from peers and other evidence.
2. Service on one or more of the standing or ad hoc committees of the Faculty Senate or on other councils, committees, and/or task forces addressing specific university issues and initiatives.
3. Evidence of leadership and high involvement in service activities and/or mentoring others to assume significant responsibilities in shared university governance.
4. Because so many individuals are potentially deserving of this award, past recipients will not be considered. Also, current and recent (within three years of serving) Faculty Senate presidents are not eligible.

A slate of five nominees will be selected each year by a committee consisting of the executive secretary of the Faculty Senate, the current president and president-elect of the Faculty Senate, and a representative from the office of the Provost. This committee will consider recommendations for nominees from anyone on campus, including self nominations, and will screen potential nominees to identify the top five. This slate of five nominees, along with supporting documentation, will be forwarded to the panel of past Faculty Senate presidents for a final decision no later than February 21st each year. The list of nominees will be made public and the winner will be recognized at the annual Robbins Award Ceremony.

Nomination Materials

In order to provide greater uniformity in the process, nomination materials solicited by the screening committee will include:

1. A statement from the candidate summarizing his or her activities over at least the last three years in support of the shared governance objectives of the university.
2. A short CV that emphasizes service roles and leadership in university service.
3. Letters of support from peers who are familiar with the candidate's university service (maximum of five).

Committee on Committees FS attendance report
13 January 2014

Robert Schmidt, Chair
Sheri Haderlie
Dan Davis

1. According to Faculty Code 402.3.4, "The Executive Secretary of the Senate reports all vacancies to the Committee on Committees. The Committee on Committees will then contact the affected academic dean, vice president, or, where applicable, the chancellor or regional campus dean, who will appoint an alternate elected senator to fill the seat within 30 days." Additionally, "A senate seat shall be declared vacant if a senator (1) resigns from Faculty Senate, (2) is no longer a member of the faculty of the academic unit from which he or she was elected, or (3) *misses two regularly scheduled senate meetings during an academic year without making a documented effort to arrange for an alternate and keeping the Executive Secretary of the Faculty Senate informed in writing* (email is acceptable)."

Correspondingly, "Senators must notify the Executive Secretary of the Senate in writing (email is acceptable) whenever alternates will replace them. If a senator fails twice to make a documented effort to arrange for an alternate during an academic year, then that senator's position will be considered vacant" (402.3.2).

According to attendance records, for the past 4 FS meetings:

Senators with one undocumented absence: 14

Senators with two or more undocumented absences: 6

Presidential appointments with one undocumented absence: 3

Presidential appointments with two or more undocumented absences: 1

Ex Officio FS members with one undocumented absence: 2

Ex Officio FS members with two or more undocumented absences: 1

AS-USU members with one undocumented absence: 0

AS-USU members with two or more undocumented absences: 3

CoC concerns:

- Up to 6 positions could be declared vacant (although it is unclear who does the "declaring"), and more may occur as the academic year continues. It is important to clarify the legitimacy of all Senators, particularly for contentious issues resulting in close votes.

- There is no process for replacing absent Presidential appointments or AS-USU members, nor is there any requirement for them to attend FS meetings. The same seems to be true for ex-officio members of the FS.

2. The Faculty Code (402.3.2) also notes: "Senate members are expected to attend its meetings regularly. In cases of unavoidable absence, including sabbatical leave, professional development leave, and unpaid leaves of absence, senators will arrange for an elected alternate senator to attend in their place."

CoC concerns:

- It seems appropriate that teaching conflicts be added to the list of reasons for unavoidable absences.

3. It is difficult for the Executive Secretary to keep track of attendance for a number of reasons, including:

- a. failure of Senators to sign the roll sheet
- b. failure of Alternates to designate who they are representing
- c. failure of Senators and Alternates to inform the Executive Secretary of replacements (via email)

CoC concerns:

- It would be helpful to remind all Senators to sign the roll at the beginning and end of the FS meeting, and remind Alternates to sign two places (their name, and the name of the Senator being replaced for that meeting).

Post-Tenure Review (PTR) Task Force

Update: October 12, 2013

Ongoing Task-force activities:

- 1) See summary of past taskforce activities here: <http://www.usu.edu/fsenate/fs/2012-2013/agenda/FSAgenda04012013.pdf>
- 2) Fall 2013 – two additional meetings of the taskforce to address suggestions and concerns raised by faculty (via Budget and Faculty Welfare Committee, Academic Freedom and Tenure Committee, and Faculty Senate).
- 3) October 2013: forward revised proposal to executive committee.

Reminder of guiding principles

- 1) Retain the integrity of tenure as a valued system for protecting academic freedom:
- 2) Demonstrate to external stake holders that tenured faculty members undergo meaningful and rigorous evaluation
- 3) Respond to suggestions and concerns raised by faculty and administrative colleagues regarding strengths and challenges with current post tenure review:
 - a. Improve consistency across campus
 - b. 5-year reviews for all faculty seen as burdensome, and usually not adding meaningfully to the evaluation process
 - c. College level review committee eliminates problems of overloading senior faculty members and creating uncomfortable “neighbor evaluating neighbor” scenarios.
 - d. Balance and coordination of feedback from peers and from administrative colleagues

Previously proposed revisions receiving broad support:

- 1) College level peer review committee
- 2) Peer review only after annual review indicates the faculty member is not meeting expectations
- 3) Additional detail to ensure consistency across campus in evaluation process

Revised proposal/responses to faculty review:

- 1) Standards of evaluation (405.12, 405.12.1, 405.12.2): This proposed revision retains all language from the current code describing standards of evaluation. Very minor edits in the paragraphs describing standards of appraisal simply clarify and correct omissions/inaccuracies in current code.
- 2) New recommendation: In order to make sure that a faculty member is getting the support and resources needed to get back on track, the newest proposal states that professional development plans *will* be implemented after the first negative review (previous proposal said a PDP *may* be implemented). However, a faculty member can request a

comprehensive peer review at any point if he or she disagrees with the department head's review (i.e., the faculty member does not have to wait for a second negative annual review if he or she thinks the department head's evaluation of performance is not accurate).

- 3) Peer review committee provides "an assessment of the faculty member's performance." All reference to fulfillment of the role statement has been removed from the college peer review committee evaluation.
- 4) Professional development plan is negotiated between the faculty member and department head (original proposal said the department head authored the plan, in consultation with the faculty member). If faculty member and department head cannot agree on a plan, the college peer review committee serves as the arbiter.
- 5) Section on Academic Process (now called Academic Due Process) retained: minor edits to improve clarity and eliminate redundancy. Because of this change, specific reference to sanctions in the timeline in 405.12.2(1) has been removed.

Recommended changes with track changes (Oct 12, 2013)

405.12 REVIEW OF FACULTY

In addition to the reviews that are mandatory, there are two additional reviews of faculty performance other than those for tenure-eligible faculty and for promotion, the performance of all faculty members will be reviewed annually. These are annual reviews for faculty will be used as the basis for recommendations for salary adjustments and for term appointment renewal, and quinquennial reviews of tenured faculty. They also serve as the basis for the post-tenure review process for tenured faculty.

Comment [RG1]: Minor wordsmithing to make it clear that the annual review is the basis for post tenure review, and to make the text more accurate (e.g., adding librarianship).

Tenure (see Section 405.1) is a means to certain ends, specifically; freedom of teaching, research and other academic endeavors, and a sufficient degree of economic security to make the profession attractive to men and women of ability. Academic freedom and economic security for faculty are indispensable to the success of a university in fulfilling its obligation to its students and to society.

With tenure comes a professional responsibility, the obligation to conscientiously and competently to devote one's energies and skills to the teaching, research or creative endeavors, extension, librarianship, and service missions of the university. A central dimension of academic freedom is the exercise of professional judgment in such matters. The intent of the post-tenure review process is to support the principles of academic freedom and tenure through the provision of effective evaluation, useful feedback, appropriate intervention, and timely and affirmative assistance to ensure that every faculty member continues to experience professional development and accomplishment during the various phases of his or her career. Useful feedback should include tangible recognition to those faculty members who have demonstrated high or improved performance. It is also the intent of this policy to acknowledge that there will be different expectations in different disciplines and changing expectations at different stages of faculty careers.

12.1 Annual Review of Faculty

Each department, in collaboration with the academic dean or vice president for extension and agriculture, and where appropriate, the chancellor or regional campus dean, shall establish procedures by which all faculty members shall be reviewed annually. Such reviews shall, at a minimum, incorporate an analysis of the fulfillment of the role statement. Recognizing that faculty accomplishments do not always occur in a linear fashion, this review should take into account performance over the past 5 years (or since the individual's appointment to USU if less than 5 years).

Comment [RG2]: Minor changes to acknowledge that college and campus administration are part of the process of developing assessment procedures. The ultimate responsibility for establishing procedures lies with the department.

The basic standard for appraisal shall be whether the faculty member under review discharges conscientiously and with professional competence the duties appropriately associated with his or her position. The department head or supervisor shall meet with the faculty member annually to review this analysis of the fulfillment of the role statement and, subsequently, provide a written report of this review to the faculty member. A copy of this report shall be sent to the academic dean or vice president for extension and agriculture, and, where appropriate, chancellor or regional campus dean. The annual evaluation and recommendation by the department head or supervisor for tenure-eligible faculty (405.7.1 (3)) may constitute this review for salary adjustment. For faculty with term appointments, the annual review shall also include a recommendation regarding renewal of the term appointment.

Comment [RG3]:
Also introduces 5 year window for annual review.

12.2 Quinquennial Post-Tenure Review of Tenured Faculty

Tenured faculty shall be reviewed every five years by a post-tenure quinquennial review committee consisting of at least three tenured faculty members who hold rank equal to or greater than the faculty member being reviewed. The committee shall be appointed by the department head or supervisor in

~~consultation with the faculty member and academic dean or vice president for extension, and, where applicable, the chancellor or regional campus dean, and must include at least one member from outside the academic unit. If there are fewer than two faculty members in the academic unit with equal to or higher rank than the candidate, then the department head or supervisor shall, in consultation with the academic dean or vice president for extension, and, where appropriate, the chancellor or regional campus dean, complete the membership of the committee with faculty of related academic units. Department heads and supervisors of the faculty member being reviewed shall not serve on this committee, and no committee member may be a department head or supervisor of any other member of the committee. An administrator may only be appointed to the quinquennial review committee with the approval of the faculty member under consideration. For post-tenure quinquennial review meetings and for meetings held between either the department head or supervisor and the candidate to review the committee's evaluation and recommendation, the candidate or department head or supervisor may request the presence of an ombudsperson in accordance with policy 405.6.5.~~

Comment [RG4]: Removed initial paragraph about quinquennial review.

~~For tenured faculty, the annual review specified above constitutes the post-tenure review. The basic standard for appraisal shall be whether the faculty member under review discharges conscientiously and with professional competence the duties appropriately associated with his or her position as specified in the role statement. It is the intent of this policy to acknowledge that there will be different expectations in different disciplines and changing expectations at different stages of faculty careers. This evaluation of tenured faculty shall include the review of the annual evaluation (405.12.1), and shall include the current curriculum vita and other professional materials deemed necessary by the faculty member, and any professional development plan in place. The review will be discipline and role specific, as appropriate to evaluate: (1) teaching, through student, collegial, and administrative assessment; (2) the quality of scholarly and creative performance and/or research productivity; and (3) service to the profession, the university, and the community. In order to promote and support academic freedom and the expression of scholarship and creative talents, the criteria for the award of tenure or promotion to the most senior ranks shall not be employed for the review of the tenured faculty. In the event that a faculty member is promoted to the most senior rank, the review made by his or her promotion committee shall constitute the quinquennial review. In such cases, another review need not be scheduled for five years.~~

~~If a tenured faculty member is deemed to not be meeting the standard described above, a professional development plan will be implemented to address the specific area(s) of concern (see section 405.12.3). The department head or supervisor has the latitude to consider other options, including re-negotiation with the faculty member of his/her role statement. In addition, options, such as leave of absence, voluntary resignation, early retirement, phased retirement, medical leave, or career counseling may be available to the faculty member upon consultation with the USU Office of Human Resources. The faculty member may request a comprehensive peer-review (as outlined in 405.12.2(1)) after any annual review in which he/she disagrees with the department head's evaluation of his/her performance.~~

Comment [RG5]: New text adding detail about the outcome of the annual review, and the comprehensive review.

~~If the next annual review indicates that the tenured faculty member is meeting expectations, taking into account progress on the professional development plan, the faculty member will be considered eligible for merit pay increases if available. However, if the department head concludes that the faculty member is not meeting expectations for a second consecutive year then a comprehensive post-tenure peer review will occur, as outlined below.~~

(1) Comprehensive Peer Review

College peer review committees (see section 405.12.4) will receive copies of the annual reviews from the previous two years (with each review covering a 5-year period as stated in 405.12.1), the material upon which the annual reviews were based, the most recent professional development plan, and any additional material the faculty member or department head wishes the committee to consider. The committee may also elect to invite the faculty member and/or department head to provide additional input.

Upon completion of its review, ~~the review committee for tenured faculty~~ the college peer review committee shall submit a written report providing an assessment of the faculty member's performance. Copies of the written report will be provided to the faculty member, ~~to the~~ department head or supervisor, who shall forward a copy to the academic dean or vice president for extension and agriculture, and, where appropriate, chancellor or regional campus dean. ~~A copy of the committee's report shall be sent to the faculty member. An ombudsperson must be present at all meetings of a comprehensive peer review committee. Ombudspersons must receive adequate advance notice of a committee meeting from the chairperson (see policy 405.6.5).~~

~~In the event that the outcomes of a professional development plan are contested (405.12.3(3)), the review committee for tenured faculty may be called upon by the faculty member to conduct its quinquennial review ahead of schedule. In such cases, another review need not be scheduled for five years. The review committee may also, at times, between its quinquennial reviews, review the professional development plan as described in sections (405.12.3(1-2)).~~

If the peer review committee concludes that the faculty member is not meeting the standards for appraisal outlined in 405.12.1 a Professional Development Plan will be implemented as described in 405.12.3.

If the peer review committee concludes that the faculty member is meeting the standard for appraisal as outlined in 405.12.1 no sanctions will be pursued against the faculty member relative to non-performance (see 403.3.2) and the faculty member will be eligible for merit increases as available.

Following a comprehensive peer review and the initiation of a Professional Development Plan, if the subsequent annual review indicates that the faculty member is meeting the standards for appraisal as outlined in 405.12.1, the Professional Development Plan will be considered complete and the faculty member will be eligible for merit pay increase as available.

If, following an initial comprehensive peer review and the initiation of a Professional Development Plan, the subsequent (third consecutive) annual review indicates that the tenured faculty member is continuing to not meet expectations and is not meeting benchmarks set in the professional development plan, a second comprehensive peer review will occur. The procedures for this peer review will be the same as those outlined in 405.12.2 (2).

Comment [RG6]: Provides additional detail about the work of the comprehensive peer review committee, in order to facilitate consistency across campus.

12.3 Professional Development Plan

(1) As noted above, ~~The~~ department head or supervisor ~~may will~~, as a consequence of the annual review ~~finding that the faculty member is not meeting expectations~~ process, initiate the negotiation of a professional development plan to help the tenured faculty member more fully meet ~~role~~

Comment [RG7]: Minor changes to reference college peer review committee as arbiter of disagreement between department head and faculty member.

expectations. The plan shall respect academic freedom and professional self-direction, and shall permit subsequent alteration. The professional development plan shall be mutually agreed to and signed by the faculty member and the department head or supervisor and approved by the academic dean or vice president for extension and agriculture, and, where appropriate, the chancellor or regional campus dean. If agreement cannot be reached the appropriate college peer review committee will be, ~~individual department, college, and/or University appeal or hearing procedures should be used to resolve disagreements before transmitting revised role statements to promotion advisory committee and tenure committees. Such appeal and hearing procedures can, upon request, include a review of the professional development plan by the Review Committee described in policy 405.12.2.~~

(2) The professional development plan should include elements which: (1) identify the faculty member's specific strengths and weaknesses ~~(if any) and relate these to the allocation of effort assigned in the role statement~~; (2) define specific goals or outcomes needed to remedy the identified performance deficiencies; (3) outline the activities that are necessary to achieve the needed outcomes; (4) set appropriate time lines for ~~implementing and monitoring the activities and~~ achieving the outcomes; (5) indicate appropriate criteria for progress reviews and the evaluation of outcomes; and (6) identify any institutional commitments ~~in the plan~~.

(3) The faculty member shall meet with the department head or supervisor, at times indicated as appropriate in the professional development plan, to monitor progress toward accomplishment of the goals or outcomes included in the plan. ~~The department head or supervisor shall, at the conclusion of the professional development plan, At the next scheduled annual evaluation, the department head or supervisor will~~ evaluate the fulfillment of the goals or outcomes described in the plan, in terms of the criteria established by the plan. ~~The department head or supervisor shall meet with the faculty member to review this analysis and subsequently, the department head or supervisor shall provide a written report of this review to the faculty member and shall also forward a copy to the academic dean or vice president for extension, and, where appropriate, the chancellor or regional campus dean.~~ For meetings held between either the department head or supervisor and the faculty member to discuss the report, the faculty member or department head or supervisor may request the presence of an ombudsperson in accordance with policy 405.6.5.

~~At the request of the faculty member, department head, or supervisor, this report may be reviewed by the committee for tenured faculty, who shall conduct an in-depth evaluation as described in 405.12.2, including an analysis of the fulfillment of the goals or outcomes, or any other features included in the professional development plan. In this event, this in-depth review shall constitute the quinquennial review and another review need not be scheduled for five years. Upon completion of its review, the committee shall submit a written report to the department head or supervisor. A copy of the committee's report shall be sent to the faculty member, to the chancellor or campus dean and to the academic dean or vice president for extension.~~

12.4 College Comprehensive Peer Review Committee

Comprehensive peer review committees consisting of five standing members and three alternates, all of whom are full Professors, shall be formed by every college, Libraries, and Extension. Standing committee members will include four individuals elected by the college faculty and one individual appointed by the college dean. Alternates will include two elected individuals and one individual appointed by the dean. While only full Professors can serve on the peer review committee, nominations for the elected positions will be sought from all tenured and tenure-eligible faculty members within the college. All tenured and tenure-eligible faculty members will vote for the appropriate number of candidates to ensure there are four elected standing members and two elected

Comment [RG8]: Deleted because the peer review committee will review the progress on the PDP automatically if a second annual review indicates the faculty member is not meeting expectations.

Comment [RG9]: A whole new section on the structure and function of the college peer review committee.

alternate members. With the exception of Libraries and Extension, no more than two members can be from any one department. Department heads, deans, associate deans, and others with central administration appointments are not eligible to serve on these committees. If a committee member takes on such an administrative position during his/her period of committee service, he/she will be replaced.

Each comprehensive peer review committee member will serve a three-year term. However, terms will be staggered to ensure some continuity and to avoid, if possible, no more than half of the members being replaced in any given year. Vacancies will be filled through college elections for the four elected members and two elected alternates and dean appointment for the one appointed member and one appointed alternate. Each year the committee will elect an individual from within the committee who will serve as the committee chairperson for that year.

When a tenured faculty member undergoes a comprehensive peer review, the faculty member and/or department head or supervisor may each request that one committee member recuse him/herself and be replaced by an alternate member. Supervisors of faculty members under review must recuse themselves from the discussion of that particular faculty member. Such requests should be made only when there is a clear conflict of interest (e.g., faculty member or department head has a close personal or professional relationship with a committee member). The alternate selected will be an elected alternate if an elected standing member is replaced and the appointed alternate if the dean-appointed member is replaced.

12.45 Academic Due Process

Evaluations, conducted pursuant to ~~Policy 407~~this policy, may reveal continuing and persistent problems with a faculty member's performance that call into question the faculty member's ability to function in his or her position. If such problems have not been rectified by efforts at improvement over a reasonable period of time as prescribed in a professional development plan, the outcomes of which have been judged ~~(405.12.3.(3))~~ by the comprehensive college peer review committee ~~(405.12.2)~~, then ~~other~~ nonpunitive measures or sanctions may be considered as, ~~should be considered in lieu of a sanction as~~ per policy 407.1.1. ~~The standard for sanction (policy 407.2) remains that of adequate cause, namely conduct contrary to the standards set forth in policy 403.~~ Successive negative reviews do not in any way diminish the obligations of the university to show ~~such~~ adequate cause pursuant to policy 407.4.

Comment [RG10]: Edits to increase clarify and eliminate redundancy.

Recommended changes clean (Oct 12, 2013)

405.12 REVIEW OF FACULTY

In addition to the reviews that are mandatory for tenure-eligible faculty and for promotion, the performance of all faculty members will be reviewed annually. These annual reviews will be used as the basis for recommendations for salary adjustments and for term appointment renewal. They also serve as the basis for the post-tenure review process for tenured faculty.

Tenure (see Section 405.1) is a means to certain ends, specifically; freedom of teaching, research and other academic endeavors, and a sufficient degree of economic security to make the profession attractive to men and women of ability. Academic freedom and economic security for faculty are indispensable to the success of a university in fulfilling its obligation to its students and to society. With tenure comes a professional responsibility to conscientiously and competently to devote one's energies and skills to the teaching, research or creative endeavors, extension, librarianship, and service missions of the university. A central dimension of academic freedom is the exercise of professional judgment in such matters. The intent of the review process is to support the principles of academic freedom and tenure through the provision of effective evaluation, useful feedback, appropriate intervention, and timely and affirmative assistance to ensure that every faculty member continues to experience professional development and accomplishment during the various phases of his or her career. Useful feedback should include tangible recognition to those faculty members who have demonstrated high or improved performance. It is also the intent of this policy to acknowledge that there will be different expectations in different disciplines and changing expectations at different stages of faculty careers.

12.1 Annual Review of Faculty

Each department, in collaboration with the academic dean or vice president for extension and agriculture, and where appropriate, the chancellor or regional campus dean, shall establish procedures by which all faculty members shall be reviewed annually. Such reviews shall, at a minimum, incorporate an analysis of the fulfillment of the role statement. Recognizing that faculty accomplishments do not always occur in a linear fashion, this review should take into account performance over the past 5 years (or since the individual's appointment to USU if less than 5 years). The basic standard for appraisal shall be whether the faculty member under review discharges conscientiously and with professional competence the duties appropriately associated with his or her position. The department head or supervisor shall meet with the faculty member annually to review this analysis of the fulfillment of the role statement and, subsequently, provide a written report of this review to the faculty member. A copy of this report shall be sent to the academic dean or vice president for extension and agriculture, and, where appropriate, chancellor or regional campus dean. The annual evaluation and recommendation by the department head or supervisor may constitute this review for salary adjustment. For faculty with term appointments, the annual review shall also include a recommendation regarding renewal of the term appointment.

12.2 Post-Tenure Review of Tenured Faculty

For tenured faculty, the annual review specified above constitutes the post-tenure review. The basic standard for appraisal shall be whether the faculty member under review discharges conscientiously and with professional competence the duties appropriately associated with his or her position as specified in the role statement. It is the intent of this policy to acknowledge that there will be different expectations in different disciplines and changing expectations at different stages of faculty careers. This evaluation of tenured faculty shall include the current curriculum vita and other

professional materials deemed necessary by the faculty member, and any professional development plan in place. The review will be discipline and role specific, as appropriate to evaluate: (1) teaching, through student, collegial, and administrative assessment; (2) the quality of scholarly and creative performance and/or research productivity; and (3) service to the profession, the university, and the community. In order to promote and support academic freedom and the expression of scholarship and creative talents, the criteria for the award of tenure or promotion to the most senior ranks shall not be employed for the review of the tenured faculty.

If a tenured faculty member is deemed to not be meeting the standard described above, a professional development plan will be implemented to address the specific area(s) of concern (see section 405.12.3). The department head or supervisor has the latitude to consider other options, including re-negotiation with the faculty member of his/her role statement. In addition, options, such as leave of absence, voluntary resignation, early retirement, phased retirement, medical leave, or career counseling may be available to the faculty member upon consultation with the USU Office of Human Resources. The faculty member may request a comprehensive peer-review (as outlined in 405.12.2(1)) after any annual review in which he/she disagrees with the department head's evaluation of his/her performance.

If the next annual review indicates that the tenured faculty member is meeting expectations, taking into account progress on the professional development plan, the faculty member will be considered eligible for merit pay increases if available. However, if the department head concludes that the faculty member is not meeting expectations for a second consecutive year then a comprehensive post-tenure peer review will occur, as outlined below.

(1) Comprehensive Peer Review

College peer review committees (see section 405.12.4) will receive copies of the annual reviews from the previous two years (with each review covering a 5-year period as stated in 405.12.1), the material upon which the annual reviews were based, the most recent professional development plan, and any additional material the faculty member or department head wishes the committee to consider. The committee may also elect to invite the faculty member and/or department head to provide additional input.

Upon completion of its review, college peer review committee shall submit a written report providing an assessment of the faculty member's performance. Copies of the written report will be provided to the faculty member, department head or supervisor, who shall forward a copy to the academic dean or vice president for extension and agriculture, and, where appropriate, chancellor or regional campus dean. An ombudsperson must be present at all meetings of a comprehensive peer review committee. Ombudspersons must receive adequate advance notice of a committee meeting from the chairperson (see policy 405.6.5).

If the peer review committee concludes that the faculty member is not meeting the standards for appraisal outlined in 405.12.1 a Professional Development Plan will be implemented as described in 405.12.3.

If the peer review committee concludes that the faculty member is meeting the standard for appraisal as outlined in 405.12.1 no sanctions will be pursued against the faculty member relative to non-performance (see 403.3.2) and the faculty member will be eligible for merit increases as available.

Following a comprehensive peer review and the initiation of a Professional Development Plan, if the subsequent annual review indicates that the faculty member is meeting the standards for appraisal as outlined in 405.12.1, the Professional Development Plan will be considered complete and the faculty member will be eligible for merit pay increase as available.

If, following an initial comprehensive peer review and the initiation of a Professional Development Plan, the subsequent (third consecutive) annual review indicates that the tenured faculty member is continuing to not meet expectations and is not meeting benchmarks set in the professional development plan, a second comprehensive peer review will occur. The procedures for this peer review will be the same as those outlined in 405.12.2 (2).

12.3 Professional Development Plan

(1) As noted above, the department head or supervisor will, as a consequence of the annual review finding that the faculty member is not meeting expectations, initiate the negotiation of a professional development plan to help the tenured faculty member more fully meet expectations. The plan shall respect academic freedom and professional self-direction, and shall permit subsequent alteration. The professional development plan shall be mutually agreed to and signed by the faculty member and the department head or supervisor and approved by the academic dean or vice president for extension and agriculture, and, where appropriate, the chancellor or regional campus dean. If agreement cannot be reached the appropriate college peer review committee will be used to resolve disagreements.

(2) The professional development plan should include elements which: (1) identify the faculty member's specific strengths and weaknesses; (2) define specific goals or outcomes needed to remedy the identified performance deficiencies; (3) outline the activities that are necessary to achieve the needed outcomes; (4) set appropriate time lines for achieving the outcomes; (5) indicate appropriate criteria for progress reviews and the evaluation of outcomes; and (6) identify any institutional commitments.

(3) The faculty member shall meet with the department head or supervisor, at times indicated as appropriate in the professional development plan, to monitor progress toward accomplishment of the goals or outcomes included in the plan. At the next scheduled annual evaluation, the department head or supervisor will evaluate the fulfillment of the goals or outcomes described in the plan, in terms of the criteria established by the plan. For meetings held between either the department head or supervisor and the faculty member to discuss the report, the faculty member or department head or supervisor may request the presence of an ombudsperson in accordance with policy 405.6.5.

12.4 College Comprehensive Peer Review Committee

Comprehensive peer review committees consisting of five standing members and three alternates, all of whom are full Professors, shall be formed by every college, Libraries, and Extension. Standing committee members will include four individuals elected by the college faculty and one individual appointed by the college dean. Alternates will include two elected individuals and one individual appointed by the dean. While only full Professors can serve on the peer review committee, nominations for the elected positions will be sought from all tenured and tenure-eligible faculty members within the college. All tenured and tenure-eligible faculty members will vote for the appropriate number of candidates to ensure there are four elected standing members and two elected alternate members. With the exception of Libraries and Extension, no more than two members can be from any one department. Department heads, deans, associate deans, and others with central administration appointments are not eligible to serve on these committees. If a committee member

takes on such an administrative position during his/her period of committee service, he/she will be replaced.

Each comprehensive peer review committee member will serve a three-year term. However, terms will be staggered to ensure some continuity and to avoid, if possible, no more than half of the members being replaced in any given year. Vacancies will be filled through college elections for the four elected members and two elected alternates and dean appointment for the one appointed member and one appointed alternate. Each year the committee will elect an individual from within the committee who will serve as the committee chairperson for that year.

When a tenured faculty member undergoes a comprehensive peer review, the faculty member and/or department head or supervisor may each request that one committee member recuse him/herself and be replaced by an alternate member. Supervisors of faculty members under review must recuse themselves from the discussion of that particular faculty member. Such requests should be made only when there is a clear conflict of interest (e.g., faculty member or department head has a close personal or professional relationship with a committee member). The alternate selected will be an elected alternate if an elected standing member is replaced and the appointed alternate if the dean-appointed member is replaced.

12.4 Academic Due Process

Evaluations, conducted pursuant to this policy, may reveal continuing and persistent problems with a faculty member's performance that call into question the faculty member's ability to function in his or her position. If such problems have not been rectified by efforts at improvement over a reasonable period of time as prescribed in a professional development plan, the outcomes of which have been judged 3 by the comprehensive college peer review committee, then nonpunitive measures or sanctions may be considered as per policy 407. Successive negative reviews do not in any way diminish the obligations of the university to show adequate cause pursuant to policy 407.

Current Code

405.12 REVIEW OF FACULTY

There are two additional reviews of faculty performance other than those for tenure-eligible faculty and for promotion. These are annual reviews for faculty for salary adjustments and for term appointment renewal, and quinquennial reviews of tenured faculty.

Tenure (see Section 405.1) is a means to certain ends, specifically; freedom of teaching, research and other academic endeavors, and a sufficient degree of economic security to make the profession attractive to men and women of ability. Academic freedom and economic security for faculty are indispensable to the success of a university in fulfilling its obligation to its students and to society. With tenure comes professional responsibility, the obligation conscientiously and competently to devote one's energies and skills to the teaching, research, extension and service missions of the university. A central dimension of academic freedom is the exercise of professional judgment in such matters. The intent of post-tenure review is to support the principles of academic freedom and tenure through the provision of effective evaluation, useful feedback, appropriate intervention, and timely and affirmative assistance to ensure that every faculty member continues to experience professional development and accomplishment during the various phases of his or her career. Useful feedback should include tangible recognition to those faculty who have demonstrated high or improved performance. It is also the intent of this policy to acknowledge that there will be different expectations in different disciplines and changing expectations at different stages of faculty careers.

12.1 Annual Review of Faculty

Each department shall establish procedures by which all faculty shall be reviewed annually. Such reviews shall, at a minimum, incorporate an analysis of the fulfillment of the role statement. The basic standard for appraisal shall be whether the faculty member under review discharges conscientiously and with professional competence the duties appropriately associated with his or her position. The department head or supervisor shall meet with the faculty member annually to review this analysis of the fulfillment of the role statement and, subsequently, provide a written report of this review to the faculty member. A copy of this report shall be sent to the academic dean or vice president for extension, and, where appropriate, chancellor or regional campus dean. The annual evaluation and recommendation by the department head or supervisor for tenure-eligible faculty (405.7.1 (3)) may constitute this review for salary adjustment. For faculty with term appointments, the annual review shall also include a recommendation regarding renewal of the term appointment.

12.2 Quinquennial Review of Tenured Faculty

Tenured faculty shall be reviewed every five years by a post-tenure quinquennial review committee consisting of at least three tenured faculty members who hold rank equal to or greater than the faculty member being reviewed. The committee shall be appointed by the department head or supervisor in consultation with the faculty member and academic dean or vice president for extension, and, where applicable, the chancellor or regional campus dean, and must include at least one member from outside the academic unit. If there are fewer than two faculty members in the academic unit with equal to or higher rank than the candidate, then the department head or supervisor shall, in consultation with the academic dean or vice president for extension, and, where appropriate, the chancellor or regional campus dean, complete the membership of the committee with faculty of related academic units. Department heads and supervisors of the faculty member being reviewed shall not serve on this committee, and no committee member may be a department head or supervisor of any other member of the committee. An administrator may only be appointed to the quinquennial

review committee with the approval of the faculty member under consideration. For post-tenure quinquennial review meetings and for meetings held between either the department head or supervisor and the candidate to review the committee's evaluation and recommendation, the candidate or department head or supervisor may request the presence of an ombudsperson in accordance with policy 405.6.5. The basic standard for appraisal shall be whether the faculty member under review discharges conscientiously and with professional competence the duties appropriately associated with his or her position as specified in the role statement. It is the intent of this policy to acknowledge that there will be different expectations in different disciplines and changing expectations at different stages of faculty careers. This evaluation of tenured faculty shall include the review of the annual evaluation (405.12.1), and shall include the current curriculum vita and other professional materials deemed necessary by the faculty member, and any professional development plan in place. The review will be discipline and role specific, as appropriate to evaluate: (1) teaching, through student, collegial, and administrative assessment; (2) the quality of scholarly and creative performance and/or research productivity; and (3) service to the profession, the university, and the community. The criteria for the award of tenure or promotion to the most senior ranks shall not be employed for the review of the tenured faculty. In the event that a faculty member is promoted to the most senior rank, the review made by his or her promotion committee shall constitute the quinquennial review. In such cases, another review need not be scheduled for five years. Upon completion of its review, the review committee for tenured faculty shall submit a written report to the department head or supervisor, who shall forward a copy to the academic dean or vice president for extension, and, where appropriate, chancellor or regional campus dean. A copy of the committee's report shall be sent to the faculty member. In the event that the outcomes of a professional development plan are contested (405.12.3(3)), the review committee for tenured faculty may be called upon by the faculty member to conduct its quinquennial review ahead of schedule. In such cases, another review need not be scheduled for five years. The review committee may also, at times, between its quinquennial reviews, review the professional development plan as described in sections (405.12.3(1-2)).

12.3 Professional Development Plan

(1) The department head or supervisor may, as a consequence of the annual review process, initiate the negotiation of a professional development plan to help the tenured faculty member more fully meet role expectations. The plan shall respect academic freedom and professional self-direction, and shall permit subsequent alteration. The professional development plan shall be mutually agreed to and signed by the faculty member and the department head or supervisor and approved by the academic dean or vice president for extension, and, where appropriate, the chancellor or regional campus dean. If agreement cannot be reached, individual department, college, and/or University appeal or hearing procedures should be used to resolve disagreements before transmitting revised role statements to promotion advisory committee and tenure committees. Such appeal and hearing procedures can, upon request, include a review of the professional development plan by the Review Committee described in policy 405.12.2.

(2) The professional development plan should include elements which: (1) identify the specific strengths and weaknesses (if any) and relate these to the allocation of effort assigned in the role statement; (2) define specific goals or outcomes needed to remedy the identified deficiencies; (3) outline the activities that are necessary to achieve the needed outcomes; (4) set appropriate time lines for implementing and monitoring the activities and achieving the outcomes; (5) indicate appropriate criteria for progress reviews and the evaluation of outcomes; and (6) identify any institutional commitments in the plan.

(3) The faculty member shall meet with the department head or supervisor, at times indicated as appropriate in the professional development plan, to monitor progress toward accomplishment of the

goals or outcomes included in the plan. The department head or supervisor shall, at the conclusion of the professional development plan, evaluate the fulfillment of the goals or outcomes described in the plan, in terms of the criteria established by the plan. The department head or supervisor shall meet with the faculty member to review this analysis and subsequently, the department head or supervisor shall provide a written report of this review to the faculty member and shall also forward a copy to the academic dean or vice president for extension, and, where appropriate, the chancellor or regional campus dean. For meetings held between either the department head or supervisor and faculty member to discuss the report, the faculty member or department head or supervisor may request the presence of an ombudsperson in accordance with policy 405.6.5. At the request of the faculty member, department head, or supervisor, this report may be reviewed by the committee for tenured faculty, who shall conduct an in-depth evaluation as described in 405.12.2, including an analysis of the fulfillment of the goals or outcomes, or any other features included in the professional development plan. In this event, this in-depth review shall constitute the quinquennial review and another review need not be scheduled for five years. Upon completion of its review, the committee shall submit a written report to the department head or supervisor. A copy of the committee's report shall be sent to the faculty member, to the chancellor or campus dean and to the academic dean or vice president for extension.

12.4 Academic Process

Evaluations, conducted pursuant to Policy 407, may reveal continuing and persistent problems with a faculty member's performance that call into question the faculty member's ability to function in his or her position. If such problems have not been rectified by efforts at improvement as prescribed in a professional development plan, the outcomes of which have been judged (405.12.3.(3)) by the review committee (405.12.2), then other nonpunitive measures, should be considered in lieu of a sanction as per policy 407.1.1. The standard for sanction (policy 407.2) remains that of adequate cause, namely conduct contrary to the standards set forth in policy 403. Successive negative reviews do not in any way diminish the obligations of the university to show such adequate cause pursuant to policy 407.4.

Minutes from Faculty Evaluation Committee (FEC)
16 January 14, 3:00-4:00pm NR204

Present:

Alan Stephens (Business)
Anne Mackiewicz (USU Eastern)
Jeffrey Banks (Extension, Nephi)
Joan Kleinke (ex officio)
Sandra Weingart (Libraries)
Karen Mock (Chairperson, Natural Resources)
Karen Woolstenhulme (Business; Roosevelt)
Michael Lyons (CHaSS)
Oenardi Lawanto (Engineering)
Thomas Lachmar (Science)
Kit Mohr (Education)
Emily Esplin (ASUSU VP)
Brittney Garbrick (ASUSU Grad Studies)

Absent:

Arthur Caplan (Agriculture)
Raymond Veon (Arts)
Daryn Frischknecht (ASUSU student advocate)

- 1) **Approved minutes from November 14, 2013 meeting**
- 2) **Reviewed Spring 2014 calendar**
- 3) **Discussed proposed revisions to Policy section 405.12, per request by Faculty Senate Executive Committee**

There was much discussion of the revised Policy section 405.12 Review of Faculty section of the Policy Manual, which was provided to us for comment by the Faculty Senate Executive Committee. A.S. provided a history of the revision and the Task Force. There was recognition that tenure is a foundation of shared governance, and also acknowledgement that faculty review processes should be rigorous, clearly described in policy, and evenly applied across colleges. There was particularly extensive discussion about proposed linkage between annual reviews and more comprehensive reviews and also about the composition of the faculty committee conducting comprehensive reviews.

The committee recommended retention of the current language in the Code rather than adoption of the proposed changes. The committee recognized that minor changes to the language in this section of the Policy Manual were probably necessary, and could be addressed by appropriate Faculty Senate committees, but that wholesale process changes were not warranted. The committee felt that the current policy of annual reviews by department heads and a separate 5-year review process was a **sound process** but that it was **unevenly applied** across colleges and departments. The current policy allows annual reviews to be used as information by the review committee, but does not create a “trigger” for a comprehensive review. This appropriately limits the influence of department heads in decisions about sanctions, but should allow department head authority in decisions about merit pay. The committee felt that if annual reviews were triggers for more comprehensive reviews, then the comprehensive reviews could become both punitive and rare. The committee also felt that the existing requirements for the membership of the faculty

review committee (with respect to both departmental representation and rank) were appropriate. There was concern that if only full professors could serve on these committees (as proposed), then there would be a paucity of eligible members within departments.

The committee did suggest a change to the current language of the committee composition; namely that this committee should be primarily made up of faculty from the same department as the faculty member under review (e.g. 2/3). The committee felt that faculty within the same department would be best able to judge the performance of the faculty member under review, although minority representation outside the academic unit was also valuable.

Recommended changes with track changes (Oct 12, 2013)

405.12 REVIEW OF FACULTY

~~In addition to the reviews that are mandatory~~ There are two additional reviews of faculty performance ~~other than those~~ for tenure-eligible faculty and for promotion, ~~the performance of all faculty members will be reviewed annually.~~ These are annual reviews for faculty ~~will be used as the basis for recommendations for salary adjustments and for term appointment renewal, and quinquennial reviews of tenured faculty.~~ They also serve as the basis for the post-tenure review process for tenured faculty.

Comment [RG1]: Minor wordsmithing to make it clear that the annual review is the basis for post tenure review, and to make the text more accurate (e.g., adding librarianship).

Tenure (see Section 405.1) is a means to certain ends, specifically; freedom of teaching, research and other academic endeavors, and a sufficient degree of economic security to make the profession attractive to men and women of ability. Academic freedom and economic security for faculty are indispensable to the success of a university in fulfilling its obligation to its students and to society. With tenure comes a professional responsibility, ~~the obligation to~~ conscientiously and competently ~~to~~ devote one's energies and skills to the teaching, research ~~or creative endeavors,~~ extension, librarianship, and service missions of the university. A central dimension of academic freedom is the exercise of professional judgment in such matters. The intent of ~~the post-tenure review process~~ is to support the principles of academic freedom and tenure through the provision of effective evaluation, useful feedback, appropriate intervention, and timely and affirmative assistance to ensure that every faculty member continues to experience professional development and accomplishment during the various phases of his or her career. Useful feedback should include tangible recognition to those faculty ~~members~~ who have demonstrated high or improved performance. It is also the intent of this policy to acknowledge that there will be different expectations in different disciplines and changing expectations at different stages of faculty careers.

— minor edit

12.1 Annual Review of Faculty

Each department, ~~in collaboration with the academic dean or vice president for extension and agriculture, and where appropriate, the chancellor or regional campus dean,~~ shall establish procedures by which all faculty ~~members~~ shall be reviewed annually. Such reviews shall, at a minimum, incorporate an analysis of the fulfillment of the role statement. ~~Recognizing that faculty accomplishments do not always occur in a linear fashion, this review should take into account performance over the past 5 years (or since the individual's appointment to USU if less than 5 years).~~

Comment [RG2]: Minor changes to acknowledge that college and campus administration are part of the process of developing assessment procedures. The ultimate responsibility for establishing procedures lies with the department.

The basic standard for appraisal shall be whether the faculty member under review discharges conscientiously and with professional competence the duties appropriately associated with his or her position. The department head or supervisor shall meet with the faculty member annually to review this analysis of the fulfillment of the role statement and, subsequently, provide a written report of this review to the faculty member. A copy of this report shall be sent to the academic dean or vice president for extension and agriculture, and, where appropriate, chancellor or regional campus dean. The annual evaluation and recommendation by the department head or supervisor ~~for tenure-eligible faculty (405.7.1 (3))~~ may constitute this review for salary adjustment. For faculty with term appointments, the annual review shall also include a recommendation regarding renewal of the term appointment.

Comment [RG3]: Also Introduces 5 year window for annual review.

12.2 Quinquennial Post-Tenure Review of Tenured Faculty

~~Tenured faculty shall be reviewed every five years by a post-tenure quinquennial review committee consisting of at least three tenured faculty members who hold rank equal to or greater than the faculty member being reviewed. The committee shall be appointed by the department head or supervisor in~~

consultation with the faculty member and academic dean or vice president for extension, and, where applicable, the chancellor or regional campus dean, and must include at least one member from outside the academic unit. If there are fewer than two faculty members in the academic unit with equal to or higher rank than the candidate, then the department head or supervisor shall, in consultation with the academic dean or vice president for extension, and, where appropriate, the chancellor or regional campus dean, complete the membership of the committee with faculty of related academic units. Department heads and supervisors of the faculty member being reviewed shall not serve on this committee, and no committee member may be a department head or supervisor of any other member of the committee. An administrator may only be appointed to the quinquennial review committee with the approval of the faculty member under consideration. For post-tenure quinquennial review meetings and for meetings held between either the department head or supervisor and the candidate to review the committee's evaluation and recommendation, the candidate or department head or supervisor may request the presence of an ombudsperson in accordance with policy 405.6.5.

Comment [RG4]: Removed initial paragraph about quinquennial review.

For tenured faculty, the annual review specified above constitutes the post-tenure review. The basic standard for appraisal shall be whether the faculty member under review discharges conscientiously and with professional competence the duties appropriately associated with his or her position as specified in the role statement. It is the intent of this policy to acknowledge that there will be different expectations in different disciplines and changing expectations at different stages of faculty careers. This evaluation of tenured faculty shall include the review of the annual evaluation (405.12.1), and shall include the current curriculum vita and other professional materials deemed necessary by the faculty member, and any professional development plan in place. The review will be discipline and role specific, as appropriate to evaluate: (1) teaching, through student, collegial, and administrative assessment; (2) the quality of scholarly and creative performance and/or research productivity; and (3) service to the profession, the university, and the community. In order to promote and support academic freedom and the expression of scholarship and creative talents, the criteria for the award of tenure or promotion to the most senior ranks shall not be employed for the review of the tenured faculty. In the event that a faculty member is promoted to the most senior rank, the review made by his or her promotion committee shall constitute the quinquennial review. In such cases, another review need not be scheduled for five years.

If a tenured faculty member is deemed to not be meeting the standard described above, a professional development plan will be implemented to address the specific area(s) of concern (see section 405.12.3). The department head or supervisor has the latitude to consider other options, including re-negotiation with the faculty member of his/her role statement. In addition, options, such as leave of absence, voluntary resignation, early retirement, phased retirement, medical leave, or career counseling may be available to the faculty member upon consultation with the USU Office of Human Resources. The faculty member may request a comprehensive peer-review (as outlined in 405.12.2(1)) after any annual review in which he/she disagrees with the department head's evaluation of his/her performance.

Comment [RG5]: New text adding detail about the outcome of the annual review, and the comprehensive review.

If the next annual review indicates that the tenured faculty member is meeting expectations, taking into account progress on the professional development plan, the faculty member will be considered eligible for merit pay increases if available. However, if the department head concludes that the faculty member is not meeting expectations for a second consecutive year then a comprehensive post-tenure peer review will occur, as outlined below.

(I) Comprehensive Peer Review

College peer review committees (see section 405.12.4) will receive copies of the annual reviews from the previous two years (with each review covering a 5-year period as stated in 405.12.1), the material upon which the annual reviews were based, the most recent professional development plan, and any additional material the faculty member or department head wishes the committee to consider. The committee may also elect to invite the faculty member and/or department head to provide additional input.

Upon completion of its review, the review committee for tenured faculty the college peer review committee shall submit a written report providing an assessment of the faculty member's performance. Copies of the written report will be provided to the faculty member, to the department head or supervisor, who shall forward a copy to the academic dean or vice president for extension and agriculture, and, where appropriate, chancellor or regional campus dean. A copy of the committee's report shall be sent to the faculty member. An ombudsperson must be present at all meetings of a comprehensive peer review committee. Ombudspersons must receive adequate advance notice of a committee meeting from the chairperson (see policy 405.6.5).

In the event that the outcomes of a professional development plan are contested (405.12.3(3)), the review committee for tenured faculty may be called upon by the faculty member to conduct its quinquennial review ahead of schedule. In such cases, another review need not be scheduled for five years. The review committee may also, at times, between its quinquennial reviews, review the professional development plan as described in sections (405.12.3(1-2)).

If the peer review committee concludes that the faculty member is not meeting the standards for appraisal outlined in 405.12.1 a Professional Development Plan will be implemented as described in 405.12.3.

If the peer review committee concludes that the faculty member is meeting the standard for appraisal as outlined in 405.12.1 no sanctions will be pursued against the faculty member relative to non-performance (see 403.3.2) and the faculty member will be eligible for merit increases as available.

Following a comprehensive peer review and the initiation of a Professional Development Plan, if the subsequent annual review indicates that the faculty member is meeting the standards for appraisal as outlined in 405.12.1, the Professional Development Plan will be considered complete and the faculty member will be eligible for merit pay increase as available.

If, following an initial comprehensive peer review and the initiation of a Professional Development Plan, the subsequent (third consecutive) annual review indicates that the tenured faculty member is continuing to not meet expectations and is not meeting benchmarks set in the professional development plan, a second comprehensive peer review will occur. The procedures for this peer review will be the same as those outlined in 405.12.2 (2).

12.3 Professional Development Plan

(1) As noted above, The department head or supervisor may will, as a consequence of the annual review finding that the faculty member is not meeting expectations process, initiate the negotiation of a professional development plan to help the tenured faculty member more fully meet role

Comment - there is a confused process as to what happens if a PDP is created in first year. It implies a need for a second different PDP in year 2.

Comment [RG6]: Provides additional detail about the work of the comprehensive peer review committee, in order to facilitate consistency across campus.

In addition, that year's annual review by the department head will be considered null and be replaced by the college peer review committee's written assessment.

Comment - This abbreviates the timelines, thus punishing a faculty member who elects to use the college committee in the first year.

Comment [RG7]: Minor changes to reference college peer review committee as arbiter of disagreement between department head and faculty member.

expectations. The plan shall respect academic freedom and professional self-direction, and shall permit subsequent alteration. The professional development plan shall be mutually agreed to and signed by the faculty member and the department head or supervisor and approved by the academic dean or vice president for extension and agriculture, and, where appropriate, the chancellor or regional campus dean. If agreement cannot be reached the appropriate college peer review committee will be, individual department, college, and/or University appeal or hearing procedures should be used to resolve disagreements before transmitting revised role statements to promotion advisory committee and tenure committees. Such appeal and hearing procedures can, upon request, include a review of the professional development plan by the Review Committee described in policy 405.12.2.

(2) The professional development plan should include elements which: (1) identify the faculty member's specific strengths and weaknesses (if any) and relate these to the allocation of effort assigned in the role statement; (2) define specific goals or outcomes needed to remedy the identified performance deficiencies; (3) outline the activities that are necessary to achieve the needed outcomes; (4) set appropriate time lines for implementing and monitoring the activities and achieving the outcomes; (5) indicate appropriate criteria for progress reviews and the evaluation of outcomes; and (6) identify any institutional commitments in the plan.

(3) The faculty member shall meet with the department head or supervisor, at times indicated as appropriate in the professional development plan, to monitor progress toward accomplishment of the goals or outcomes included in the plan. The department head or supervisor shall, at the conclusion of the professional development plan, At the next scheduled annual evaluation, the department head or supervisor will evaluate the fulfillment of the goals or outcomes described in the plan, in terms of the criteria established by the plan. The department head or supervisor shall meet with the faculty member to review this analysis and subsequently, the department head or supervisor shall provide a written report of this review to the faculty member and shall also forward a copy to the academic dean or vice president for extension, and, where appropriate, the chancellor or regional campus dean. For meetings held between either the department head or supervisor and the faculty member to discuss the report, the faculty member or department head or supervisor may request the presence of an ombudsperson in accordance with policy 405.6.5.

At the request of the faculty member, department head, or supervisor, this report may be reviewed by the committee for tenured faculty, who shall conduct an in-depth evaluation as described in 405.12.2, including an analysis of the fulfillment of the goals or outcomes, or any other features included in the professional development plan. In this event, this in-depth review shall constitute the quinquennial review and another review need not be scheduled for five years. Upon completion of its review, the committee shall submit a written report to the department head or supervisor. A copy of the committee's report shall be sent to the faculty member, to the chancellor or campus dean and to the academic dean or vice president for extension.

Comment [RG8]: Deleted because the peer review committee will review the progress on the PDP automatically if a second annual review indicates the faculty member is not meeting expectations.

12.4 College Comprehensive Peer Review Committee

Comprehensive peer review committees consisting of five standing members and three alternates, all of whom are full Professors, shall be formed by every college, Libraries, and Extension. Standing committee members will include four individuals elected by the college faculty and one individual appointed by the college dean. Alternates will include two elected individuals and one individual appointed by the dean. While only full Professors can serve on the peer review committee, nominations for the elected positions will be sought from all tenured and tenure-eligible faculty members within the college. All tenured and tenure-eligible faculty members will vote for the appropriate number of candidates to ensure there are four elected standing members and two elected

Comment [RG9]: A whole new section on the structure and function of the college peer review committee.

alternate members. With the exception of Libraries and Extension, no more than two members can be from any one department. Department heads, deans, associate deans, and others with central administration appointments are not eligible to serve on these committees. If a committee member takes on such an administrative position during his/her period of committee service, he/she will be replaced.

Each comprehensive peer review committee member will serve a three-year term. However, terms will be staggered to ensure some continuity and to avoid, if possible, no more than half of the members being replaced in any given year. Vacancies will be filled through college elections for the four elected members and two elected alternates and dean appointment for the one appointed member and one appointed alternate. Each year the committee will elect an individual from within the committee who will serve as the committee chairperson for that year.

When a tenured faculty member undergoes a comprehensive peer review, the faculty member and/or department head or supervisor may each request that one committee member recuse him/herself and be replaced by an alternate member. Supervisors of faculty members under review must recuse themselves from the discussion of that particular faculty member. Such requests should be made only when there is a clear conflict of interest (e.g., faculty member or department head has a close personal or professional relationship with a committee member). The alternate selected will be an elected alternate if an elected standing member is replaced and the appointed alternate if the dean-appointed member is replaced.

12.45 Academic Due Process

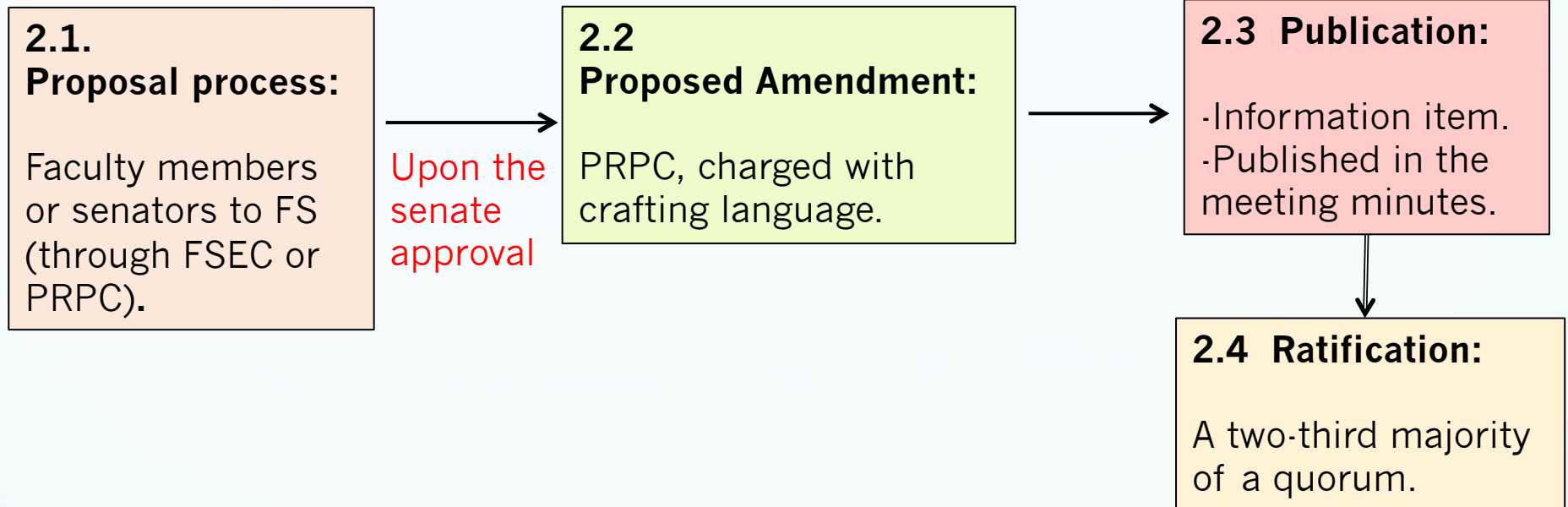
Evaluations, conducted pursuant to Policy 407, ~~this policy~~, may reveal continuing and persistent problems with a faculty member's performance that call into question the faculty member's ability to function in his or her position. If such problems have not been rectified by efforts at improvement over a reasonable period of time as prescribed in a professional development plan, the outcomes of which have been judged (405.12.3.(3)) by ~~the~~ comprehensive college peer review committees (405.12.2), then other nonpunitive measures or sanctions may be considered as ~~should be considered~~ in lieu of a sanction as per policy 407.1.1. The standard for sanction (policy 407.2) remains that of adequate cause, namely conduct contrary to the standards set forth in policy 403. Successive negative reviews do not in any way diminish the obligations of the university to show such adequate cause pursuant to policy 407.4.

Comment [RG10]: Edits to increase clarity and eliminate redundancy.

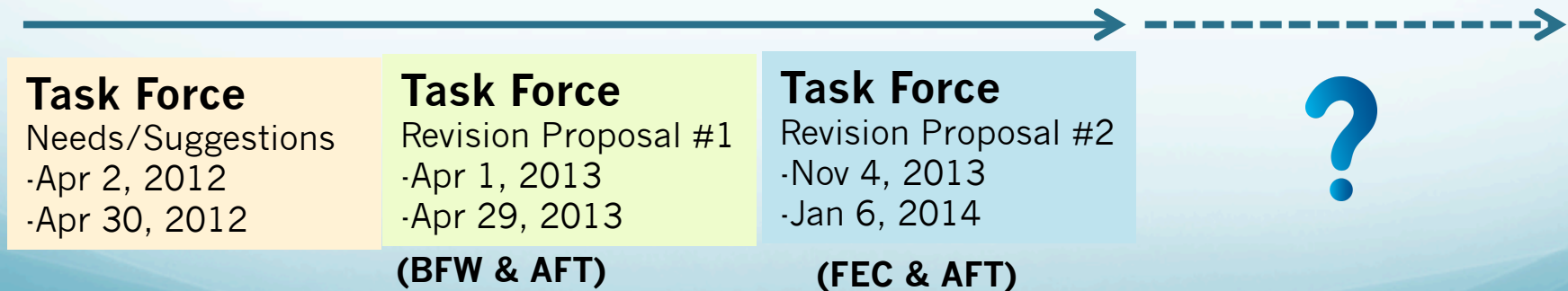
comment - The timelines and dates for remedial actions are not provided. Annual reviews and comprehensive reviews may end up overlapping each other. To protect faculty from arbitrary implementation, deadlines for review processes, development of professional plans, and implementation need to be specified

at least two

Policy Manual 202.2: Procedures for Amending Section 400



Where we are now:



Current Code (CC)

vs.

Revision Proposal (RP)

Annual Review:

- By department head.
- For Salary adjustment.

Poor review may initiate

Professional Development Plan (PDP)

Post Tenure Review:

- A program-level committee
- At least 3 tenured faculty.
- Every five years

Annual Review & PTR:

- By department head (**past 5 yrs**).
- For Salary adjustment.

1st poor review will

Or other options

Professional Development Plan

2nd consecutive poor reviews will

Comprehensive Peer Review:

- A college-level 5 standing members.
- Professors, voted (4) & appointed (1).

Agree

Disagree

No sanction

I: 1) Leave it alone. 2) Improve CC. 3) Further revise RP. 4) Accept as it is.

II: Task Force Or PRPC ?