

## SECTION D: EVALUATION OF FACULTY PERSONNEL

Personnel policies state that the evaluation of faculty members in an academic unit (e.g., department or school) shall be based on the principle that the academic unit has the primary responsibility for the evaluation of the academic activities of each of its faculty members.

Evaluation of faculty personnel normally shall take place in conjunction with recommendations for salary (merit), promotions, tenure, and continuation of appointments. The evaluation of faculty personnel, regardless of kind of appointment (tenure track or continuing nontenure track) should be a collegial activity carried out for the productive purpose of improving the professional activities of the faculty member, the academic unit, and the college.

Each academic unit shall have written performance criteria for promotion, tenure, and salary changes (merit). The basic responsibility for applying the criteria and making recommendations to the Dean and the VPAA rests with the academic unit faculty and the Chair or Director. In all cases, the Chair/Director shall submit, with agreement or disagreement, the recommendation of the academic unit faculty to the Dean. If the recommendation of the Chair/Director differs from that of the academic unit faculty, this recommendation of the Chair/Director shall state the reasons for the difference.

The Dean of a college and the VPAA shall have the responsibility for approving or disapproving the recommendations of the academic unit and of the Chair/Director. The Dean may seek the advice of the appropriate college faculty committee. Recommendations of the academic unit and of the college, with appropriate supporting material appended thereto and a record of actions taken, shall become part of the permanent personnel files in the Office of the VPAA.

Any member of the faculty with a grievance pertinent to evaluation shall have the right to appeal such a grievance in accordance with the Grievance Arbitration Procedures set forth in *B-I.E.*

### 1. Evaluation for Salary Changes (Merit)

Recommendations for all salary changes (merit) shall be the responsibility of the faculty of the academic unit and its Chair/Director. The recommendation of the faculty of the academic unit and its Chair/Director shall be made to the appropriate Dean, who shall, in turn, make a recommendation and forward it to the VPAA.

- a) An evaluation based upon established academic unit performance criteria of the teaching, research and service activity of the probationary and tenured faculty shall be conducted.
- b) An evaluation of the performance of continuing nontenure track faculty (instructor, lecturer, or senior lecturer), based upon established academic unit performance criteria developed by the unit and approved by the college, shall be conducted.

### 2. Evaluation of Tenured and Tenure-Track Faculty

Tenure on the faculty of BGSU may be attained by a faculty member on probationary appointment. *B-I.C.2.c).* The probationary period is provided as a period of trial employment to permit members of an academic unit to determine whether an appointment leading to tenure should continue. Thus, careful evaluation of the

performance of each probationary faculty member is of fundamental importance in order both to protect the rights of the probationer and to maintain or enhance the quality of the University and its programs.

The candidate for tenure who has adhered to professional standards of ethics, as noted in the Academic Charter, *B-II.F*, the Ohio Code of Ethics Law, and appropriate professional codes of ethics, shall be granted or denied tenure solely on the basis of the following criteria: teaching effectiveness, scholarly or creative work, service to the University community or profession, and attainment of the terminal degree or its professional equivalent. An academic unit may develop a tenure policy with more precise or more rigorous statements of what is expected under teaching effectiveness, scholarly or creative activity, or service, but may not add other criteria. All such statements shall be approved by the tenured faculty of the appropriate academic unit, made available to the probationary faculty members affected, and kept on file in the appropriate administrative offices.

Promotion in rank is based upon performance. Any faculty member may perform satisfactorily at a given academic rank without necessarily warranting promotion to a higher one. It also is recognized that a period of time will elapse after a promotion, during which time further promotion is not normally to be expected. However, a faculty member may request a promotion review in accordance with the established deadlines. Faculty members whose performance merits consideration for promotion shall be invited by the chair/director to submit credentials for promotion review.

The criteria listed below are intended to serve as University-wide criteria for assignment of academic rank. Given the diversity of disciplines within the University, it is expected that there will be exceptions to the application of such criteria based upon the nature of a particular discipline (e.g., units with non-teaching faculty). Units with justifiable discipline-based exceptions may develop promotion policies with alternate criteria. Such alternate criteria shall be approved by the faculty of the unit, by the appropriate Dean, and by the VPAA. Individual exceptions leading to appointment to a specific rank also require the approval of the Dean and the VPAA.

An academic unit may develop a promotion policy with more specific or more rigorous criteria in teaching, service, or scholarly activity, provided that such criteria are equitable and appropriate and provided that they do not conflict with the criteria below. More specific or more rigorous criteria shall be ratified by the majority of the faculty members of the academic unit. Copies of all statements of procedures for evaluation, criteria, and equivalencies shall be maintained in the appropriate administrative offices.

a) Criteria for Academic Ranks

(1) Assistant Professor

A person with the rank of Assistant Professor:

- a. shall hold a Ph.D. degree or its equivalent from an accredited college or university; (the equivalent of the Ph.D. degree may include specialized training, study, or experience that does not normally culminate in the doctorate, and under special circumstances, in lieu of this equivalency, appointment to the rank of Assistant Professor in academic fields may be made to faculty members who hold a master's degree, provided that well-

formulated plans for further graduate study have been established and there is evidence of continued scholarly or creative activity);

- b. shall have evident ability as a teacher; and
- c. shall give evidence of ability to do scholarly or creative work, or shall give evidence of exceptional contributions to the academic community or profession.

(2) Associate Professor

A person with the rank of Associate Professor:

- a. shall hold the Ph.D. degree or its equivalent from an accredited college or university;
- b. shall demonstrate ability as an effective teacher;
- c. shall have demonstrated ability to do scholarly or creative work as indicated by publications, significant research, or presentation of refereed papers at regional or national meetings, or their equivalent in the creative or performing arts; and
- d. shall give evidence of active involvement in service to the University community or the profession.

(3) Professor

A person with the rank of Professor:

- a. shall hold the Ph.D. degree or its equivalent from an accredited college or university;
- b. shall have an established reputation as an effective teacher;
- c. shall have an established reputation within the discipline/profession as evidenced by a record of productive scholarship, significant research, or the equivalent in the creative or performing arts; and
- d. shall give evidence of significant service to the University community or profession.

b) Annual Evaluation for Contract Renewal or for Progress of Probationary Appointment

- (1) During the probationary period the responsibility for establishing procedures of evaluation and for conducting the annual evaluation of probationary faculty members lies with the tenured faculty of the academic unit and its chair/director; participation by tenured faculty members is essential in order that the probationer develop a sense of the evaluative judgments of colleagues as well as those of the chair/director. The required annual evaluation shall be based on the Faculty member's progress in teaching, research, and service. *B-I.C.2.b*). This

evaluation shall be communicated in writing, to the probationer by the chair/director and a copy forwarded to the dean of the college and the VPAA.

- (2) If the initial or successive probationary appointment is for a one-year term, an annual contract renewal review is required prior to renewing the contract for successive terms, see *B-I.C.2.c)(1)(e)*.
- (3) If the initial or successive probationary appointment is for a two- or three-year term, with no annual contract renewal requirement, the annual review shall determine if sufficient progress is being made toward tenure and/or promotion. A review during the last year of the two- or three-year term shall be made to determine whether to renew the contract, see *B-I.C.2.c)(1)(b)*.
- (4) If a probationary appointment is not renewed prior to acquisition of tenure, the University shall give written notice of its intention not to re-employ the affected faculty member in accordance with the policies specified in *B-I.C.2.c)(1)(e)*. A probationer who wishes to appeal an adverse decision on the basis of alleged violation of academic freedom, discrimination, inadequate or inequitable consideration of professional competence, or failure to observe due process in decisions at the department, school, college, or higher administrative level (including failure to meet Charter provisions for evaluation of probationary faculty or other failure to meet formal professional commitments) will be accorded a review employing the Grievance Arbitration Procedure as set forth in *B-I.E*.

c) Evaluation for Tenure and Promotion to Associate Professor

A faculty member in the next-to-last year of probationary appointment, or who presents him/herself for tenure and promotion at an earlier date, shall be evaluated by the eligible voters of the academic unit, and one vote of recommendation for or against tenure and promotion to associate professor shall be made. *B-I.C.2.b)(1)*.

In cases where the candidate is a tenured assistant professor, the faculty member may apply for promotion to the rank of associate professor independently of an application for tenure. In such cases, an affirmative vote of a majority of all eligible voters shall be required to recommend that promotion be granted.

In cases where the faculty member begins employment at BGSU as an associate professor without tenure, the faculty member may apply for tenure independently of an application for promotion.

The academic unit's eligible voters shall consist of those faculty members who are tenured and are at or above the rank of associate professor. In academic units with fewer than three eligible voters, the dean of the college shall broaden the faculty participation in the evaluation base. Tenured BGSU faculty from related disciplines outside the unit shall be appointed by the dean with the consent of the unit's tenured faculty and the chair/director. Appointments shall be made so as to maintain integrity of the discipline.

An affirmative vote of at least two-thirds of all eligible voters shall be required to recommend that tenure and promotion to associate professor be granted. –Promotion to the rank of associate professor during the probationary period requires a two-

thirds affirmative vote of all eligible voters in the academic unit because such action constitutes immediate tenure. Tenured faculty at or above the rank of associate professor have the responsibility to vote in decisions on tenure and promotion to associate professor. An abstention or failure to vote has the same effect as a negative vote.

The academic unit's recommendations based on established criteria shall be forwarded by the chair/director to the dean, who shall approve or disapprove after reviewing the written recommendation of the appropriate college-level review committee. The recommendations at the college level shall be forwarded by the dean to the VPAA. Responsibility for recommending tenure and promotion to associate professor to the President and Board of Trustees lies with the VPAA.

Before the recommendation is forwarded to the next level, the faculty member shall be informed in writing of the recommendation at each stage of the evaluation process. Except for the tenure and promotion to associate professor evaluation occurring during the next-to-last year of the probationary appointment, the probationer has the right to withdraw from the evaluation process at any time by informing his or her chair/director, dean and VPAA, as appropriate. In cases where the probationer has the right to withdraw from the evaluation process, the recommendation shall not be forwarded to the next level and the evaluation process shall cease.

The probationer who wishes to appeal a negative recommendation on the basis of alleged violation of academic freedom, discrimination, inadequate or inequitable consideration of professional competence, or failure to observe due process in decisions at the department, school, college, or higher administrative level (including failure to meet Charter provisions for evaluation of probationary faculty or other failure to meet formal professional commitments) will be accorded a review employing the Grievance Arbitration Procedure as set forth in *B-I.E*.

d) Evaluation for Promotion to Professor

A faculty member who presents him/herself for promotion shall be evaluated by the eligible voters of the academic unit.

The academic unit's eligible voters for candidates applying for promotion to professor shall consist of tenured faculty members who are at the rank of professor. In academic units with fewer than three eligible voters, the dean of the college shall broaden the faculty participation in the evaluation base. Tenured BGSU faculty from related disciplines outside the unit shall be appointed by the dean with the consent of the unit's tenured faculty and the chair/director. Appointments shall be made so as to maintain integrity of the discipline.

An affirmative vote of a majority of voters shall be required to recommend that promotion be granted. Tenured faculty at the rank of professor have the responsibility to vote in decisions on promotion to professor.

The academic unit's recommendations based on established criteria shall be forwarded by the chair/director to the dean, who shall approve or disapprove after reviewing the written recommendations of the appropriate college-level review committee. The recommendations at the college level shall be forwarded by the dean

to the VPAA for final approval or disapproval. Responsibility for recommending promotion to the President and Board of Trustees lies with the VPAA.

Before the recommendation is forwarded to the next level, the faculty member shall be informed in writing of the recommendation at each stage of the evaluation process and has the right to withdraw from the evaluation process at any time by informing his or her chair/director, dean and VPAA, as appropriate. In such a case, the recommendation shall not be forwarded to the next level and the evaluation process shall cease.

The faculty member who wishes to appeal a negative recommendation on the basis of alleged violation of academic freedom, discrimination, inadequate or inequitable consideration of professional competence, or failure to observe due process in decisions at the department, school, college, or higher administrative level (including failure to meet charter provisions for evaluation of faculty or other failure to meet formal professional commitments) will be accorded a review employing the grievance arbitration procedure as set forth in *B-I.E*.

### 3. Evaluation of Faculty on Interunit Assignments, Joint and Dual Appointments

The appropriate academic units, their Chairs/Directors, and the Deans shall work together in formulating the procedures for selection and evaluation related to salary changes (merit), promotion, and tenure of faculty members who hold dual or joint appointments. The execution of these procedures shall be the joint responsibility of the appropriate faculties, Chairs/Directors, Deans, and the VPAA.

When a faculty member holds an interunit assignment, an appropriate evaluation by the unit in which the assignment is held shall be submitted to the academic unit in which the faculty member holds an appointment. *B-I.A*.

Faculty members on dual appointment should expect every academic unit to be involved in their evaluations and decisions regarding appointments, salary, promotion, and tenure. Such decisions shall be agreed upon by each academic unit and each contracting officer. Every unit in which a faculty member holds a joint appointment shall conduct an appropriate evaluation and submit the results of this evaluation to the Chair/Director of the unit where the faculty member holds appointment.

### 4. Evaluation of Continuing Nontenure Track Faculty

#### a) Criteria for Ranks

Persons appointed in continuing nontenure track positions shall normally hold a master's degree or equivalent from an accredited college or university. A terminal degree is desirable, but not required. Additional qualifications are

##### (1) Instructor

- a. evident ability or promise as a teacher; and
- b. well-formulated plans for further graduate study or continued scholarly or creative activity, or evidence of ongoing contributions to the academic community.

(2) Lecturer

A minimum of four years experience as an instructor or equivalent or significant and relevant professional experience as defined by the hiring unit.

(3) Senior Lecturer

A minimum of four years experience as a lecturer or equivalent.

b) Renewal

Those faculty members who have held continuing nontenure track contracts for more than one academic year or who present themselves as candidates for reappointment are subject to the appropriate annual evaluation procedures and criteria for salary changes (merit) as outlined in *B-I.D.1.b*.

c) Promotion

Promotions may be allowed from instructor to lecturer and lecturer to senior lecturer with the approval from the dean and vice president for academic affairs. Units must develop procedures for promotion that will require a vote of the appropriate faculty, recommendation of the chair, and approval of the dean and vice president for academic affairs. In some instances, it may be possible to appoint a new faculty member as lecturer or senior lecturer if he or she has equivalent teaching experience at another institution of higher education.