

(Rev. February 2023)

## 1. Organization of the College of Arts and Sciences

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### 1.1 Faculty of Instruction

In accordance with the Drake University Academic Charter, the Faculty of Instruction shall include full-time personnel engaged in teaching and research having the rank of Instructor, Assistant Professor, Associate Professor or Professor in one of the departments in the College and not primarily engaged in administration. In the case of individuals with dual teaching appointments, at least one-half of their yearly regular semester teaching assignments must be in courses offered in the College of Arts and Sciences.

#### **1.1.1 Arts and Sciences Faculty Meetings**

The Faculty of the College shall meet together at least once each academic year. The Dean may call other meetings on appropriate occasions, and is required to convene the faculty when petitioned by 15 percent of the full-time faculty of the College to do so. The Arts and Sciences Council may also call faculty meetings.

#### **1.1.2 Powers**

The Faculty of Instruction shall have the following powers:

- a. To establish and maintain the curriculum of the College.
- b. To establish and maintain the academic policies under which the College operates.
- c. To elect members of Arts and Sciences Council, Promotion and Tenure Committee and four members of the Faculty Cabinet.
- d. To review all Arts and Sciences Council actions. (A majority vote of the entire Faculty of Instruction membership is required to overturn a Council action.)
- e. To award all College of Arts and Sciences degrees. (Departments/divisions/schools have the responsibility for proposing requirements and certifying candidates for degree programs special to their area.)
- f. To approve all amendments to Section 1 of this document. (A majority vote of the entire Faculty of Instruction membership is required.)

#### **1.1.3 Conflict of Interest**

Faculty shall not exercise control over, nor participate in decisions specifically affecting, the employment conditions and activities (including recommendations or decisions affecting the appointment, retention, tenure, work assignments, evaluation, promotion, demotion, or salary) of a related person. "Related person" includes spouses, partners, and immediate family members.

Conflicts of interest other than those involving related persons can exist. If a faculty member finds him/herself in a potential conflict of interest, he/she should discuss the matter with his/her department chair or program director, dean, or provost in order to decide if recusal is appropriate.

When a conflict exists, one of these remedies will be employed:

- a. in the case of constituted College committees (e.g., Academic Integrity, Promotion and Tenure) the evaluating/supervising individual with the conflict will be replaced following usual College procedures.
- b. when a department chair or program director has a conflict of interest, the dean shall either conduct the review, or designate another faculty member to do so.
- c. when a dean has a conflict of interest, the provost shall either conduct the review or designate another faculty member to do so.

## 1.2 Division/School Structure

The College of Arts and Sciences is organized into the Division of Humanities (English, World Languages and Cultures, History and Philosophy/Religion), the Division of Natural Sciences (Biology, Chemistry, Mathematics/Computer Science, Physics, and Psychology), the Division of Social Sciences (Politics and International Relations), and the School of Fine Arts (Art, Music, and Theatre Arts). The Environmental Science and Policy Program and the Department for the Study of Culture & Society, and Law, Politics, and Society are interdisciplinary, with representatives in Natural Sciences, Social Sciences, and Humanities. The purpose of the divisional/school structure is to ensure representation of disciplinary areas in the governing bodies in the college.

## 1.3 Administrative Officers

### **1.3.1 Dean**

#### **1.3.11 Responsibilities**

The Dean is the chief executive officer of the College of Arts and Sciences with ultimate responsibility for its academic and administrative affairs.

#### **1.3.12 Selection**

The appointment of the Dean is made by the President of the University as specified in Section XVIII of the Academic Charter of Drake University.

#### **1.3.2 Other Administrative Officers**

The Dean shall organize the administrative staff in accordance with the applicable sections of the University Bylaws, Academic Charter, and Faculty Manual. The Faculty Cabinet and Department Chairs must be consulted in the selection of Associate and Assistant Deans.

## 1.4 Arts and Sciences Council

### **1.4.1 Composition**

The Arts and Sciences Council shall be constituted of 13 members as follows:

One Chairperson.

Six (6) members of the Arts and Sciences faculty elected at-large by vote of the full faculty.

Six (6) members of the Arts and Sciences faculty elected as representatives of and by the respective faculties of the School of Fine Arts, the Natural Science Division, and the Humanities and Social Sciences Division. Representation is as follows:

Humanities and Social Sciences Division 2 members

Natural Sciences Division 2 members

School of Fine Arts 2 members

One (1) staff member in Arts and Sciences elected by vote of all staff in the College. This representative shall vote on all Council business except matters of curriculum.

Two (2) Arts and Sciences students (non-voting), one to be the Arts and Sciences representative to the Student Senate and the other to be the Fine Arts representative.

The Dean and an Associate/Assistant Dean shall serve as ex officio members of the Council. The Dean, in collaboration with an Associate/Assistant Dean, shall be responsible for recording annual revisions of the Faculty Handbook as necessitated by Council or faculty action.

#### ***1.4.2 Election and Terms of Members***

Each of the elected members of the Council shall serve a two-year term. Terms shall be staggered, with half of the members elected each year. No faculty member shall be elected to consecutive terms on the Council. Eligibility for election recurs after a lapse of one year. Elections shall be held in the spring and the new Council shall assume its duties with the opening of the academic year in the fall.

By its April meeting, the Council Chair shall solicit nominations for a Vice-Chair from among newly elected, tenured Council members. At the final Council meeting of the academic year, current and incoming Council members shall elect a Vice-Chair from among these nominees. A paper ballot will be used at the time of the meeting with the names of candidates who have agreed to stand for election and any additional nominees brought forward at the time of the final Council meeting. The Vice-Chair shall become Council Chair at the start of the second academic year of his or her two-year term, and serve as the presiding officer.

Student members shall serve one-year terms; their selection shall occur at the beginning of each academic year.

In the event that a faculty member elected to the Council is unable to complete a term of office or misses three or more meetings in one academic year, the matter shall be referred to the Cabinet for a removal vote. The member shall be notified before such a vote is taken. If a Council member is removed or unable to serve, the person receiving the next highest number of votes in the relevant election shall serve for the remainder of the term if this election has been held within the preceding twelve months. Otherwise a special election shall be held to elect a replacement from the same constituency.

#### ***1.4.3 Presiding Officer, Member Responsibilities, and Meetings***

Each academic year, the Chair shall call an initial meeting of the Council on the first Wednesday of September at 3:30 p.m. to review operational procedures and to orient new members to the responsibilities and powers of the Council.

The Council shall meet monthly during the academic year, on the third Monday of each month at 3:30 p.m., with the option of scheduling more frequent meetings when necessary in order to discharge its responsibilities. The Chair of Council or the Dean may call special meetings. All meetings shall be open to all members of the university community. All Council members are encouraged to consult with their

constituencies via office hours or email. Council members will be assigned to chair and/or serve on standing College committees.

#### **1.4.4 Agenda and Minutes**

The deadline for items to be presented to the Chair of Council for consideration for inclusion in the Council agenda is noon of the day one week prior to the meeting, and the deadline for mailing the agenda to members of the Council is five days prior to the meeting. A copy of the minutes of the previous meeting is to be enclosed with the agenda.

Copies of the agenda and allied documents shall be made available upon request in the Office of the Dean. Copies of the minutes shall be sent to the entire faculty or be made available on the web after they have been approved by the Council.

#### **1.4.5 Powers**

The Arts and Sciences Council is the chief legislative body within the College. It shall have the following powers:

- a. To establish and maintain policies for the College.
- b. To initiate University policies which shall be submitted to the Faculty Senate for consideration.
- c. To develop an annual agenda or charge for each of its standing committees during the first Council meeting of the academic year. Each standing committee shall be chaired by a member of Council and shall report to Council on a regular basis. At its spring organizational meeting, Council shall select standing committee chairs from among Council's new and continuing members.
- d. To enact academic regulations and requirements.
- e. To maintain the curriculum of the College and approve all changes.
- f. To approve, upon recommendation of the appropriate body, modification of the degree requirements for the various degrees.
- g. To establish standards and procedures to be observed by the Associate/Assistant Dean for making exceptions to degree requirements for individual candidates.

#### **1.4.6 Amendments**

Amendments to the regulations establishing this organizational structure of the Arts and Sciences Council (items 1.4 to 1.4.6) shall be initiated by either a two-thirds vote of the Arts and Sciences Council or by a petition from one-third of the faculty. Approval of the amendment shall require a majority vote of the Arts and Sciences faculty. All other amendments may be approved by a majority vote in the Council.

## 2. Arts and Sciences Committees

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### 2.1 Faculty Cabinet

Committees in the College of Arts and Sciences shall be established according to the following procedures.

- a. Standing committees of the College of Arts and Sciences are established by the Arts and Sciences Council.
- b. Ad hoc committees may be established by the Arts and Sciences Council or the Faculty Cabinet, and the members shall be appointed by the establishing body.
- c. All standing and ad hoc committees of the College of Arts and Sciences shall provide an annual written report to the Council summarizing their activities.
- d. Every academic division and school in the College of Arts and Sciences must be represented on all committees, unless specified otherwise.
- e. No faculty member may serve on more than one Arts and Sciences standing committee at any given time, except for the Chair of the Arts and Sciences Council, who serves on the Faculty Cabinet. When conducting elections for the Promotion and Tenure Committee, all eligible members even if serving on other committees, shall be listed on the ballot. If a faculty member serving on some other standing committee is elected to the Promotion and Tenure Committee, they would be removed from that other standing committee.
- f. Ad hoc committees of the office of the Dean may be appointed by the Dean to aid in performing the administrative functions of that office.
- g. The Dean shall report to the Faculty Cabinet at its next regularly scheduled meeting the establishment of any ad hoc committee of the Office of the Dean.

#### **2.1.1 Composition**

The Faculty Cabinet shall consist of four faculty members, ordinarily elected for two-year staggered terms, one from each school or academic division, and the Chair of the Council, who shall be a voting member and Chair of the Cabinet. The Dean of the College is an ex officio non-voting member. No department chair may serve on the Faculty Cabinet (except that if a chair is elected to serve as Chair of the Council, he or she may serve), and no one may serve consecutive terms. The election of the Cabinet shall be held in the spring in accordance with Arts and Sciences election procedures. Full time faculty members are ineligible for election to Cabinet prior to their third year review. The Cabinet chair shall present reports of the Cabinet to the Council.

#### **2.1.2 Election**

The members are elected by the College faculty for two-year terms, two being elected each year; one member from each school or academic division shall be elected by the College faculty. The election of the committee shall be held in the spring in accordance with Arts and Sciences election procedures. The Chair of the Council and Cabinet is elected by the Council (see 1.4.3).

### **2.1.3 Responsibilities**

The Cabinet shall:

- a. Advise and consult with the Dean on such other matters as the Dean or the Cabinet shall request.
- b. Present recommendations to the Dean and to department chairs, for the purpose of ensuring the maintenance of high academic standards:
  - 1) timely introduction of new programs
  - 2) action subsequent to program reviews
  - 3) consolidation, reduction, or modification of existing programs and structures;
  - 4) reallocation of resources within the College
  - 5) termination of programs which are no longer justifiable for the College.
- c. Appoint its own ad hoc committees to assist with especially burdensome assignments. A Faculty Cabinet member shall chair any such committee.
- d. Designate members to serve as liaison with all standing and ad hoc committees of the College.
- e. Designate a member to confer with the associate dean on particularly difficult decisions involving such things as waiver of the requirement that the last 30 hours must be taken at Drake. Consultation with advisors and other appropriate parties will typically precede the discussion between the Cabinet liaison and the Associate Dean.
- f. Advise the Dean on curricular and academic issues arising during the summer. Note: All available members comprise the Cabinet during the summer.

### **2.1.4 Organization and Operations**

- a. The Committee must be provided with information, on a confidential basis if necessary, that it considers necessary to assist in the review process, including gross salary and budget information.
- b. The Committee must make every effort to ensure that all parties to a review-such as departments, interdisciplinary programs, the Curriculum Committee, and students-be given an opportunity to present information in support of cases they wish to make.
- c. In considering discontinuance of a program, the Faculty Cabinet must act in accord with Article 10, Section A of the Drake University Academic Charter.

*The decision to discontinue a college, school, program, or department of instruction will be based solely upon educational considerations as determined by the faculty, administration and governing board of the University. "Educational considerations" do not include cyclical or temporary variations in enrollment. They must reflect long-range judgments that the educational mission of the institution will be enhanced by the discontinuance. Degree programs may be terminated by the concurrent agreement of the faculty concerned, the President of the University and the Board of Governors or by the concurrent agreement of the Faculty Senate, the President of the University and the Board of Governors.*

A program is defined as any curricular activity which has a significant degree of identity and which has traditionally been recognized as a unit within the College or a department of the College.

- d. Cabinet must keep a formal record of its proceedings, with redaction for confidentiality when needed.

- e. Each month the Faculty Cabinet shall report its actions to the Arts and Sciences Council. All actions and recommendations involving College policy must be approved by the Council. All Cabinet members are encouraged to attend monthly Council meetings.

## 2.2 Academic Integrity Committee

This committee is charged with these responsibilities: a) proposing to the Council policies and procedures for dealing with problems of plagiarism, cheating, and other forms of academic dishonesty and ensuring that these policies and procedures are consistent with University policies and procedures; b) implementing College and University policies and procedures for dealing with plagiarism, cheating, and other forms of academic dishonesty; and c) reviewing appeals of academic evaluations associated with plagiarism, cheating, and other forms of academic dishonesty. The committee shall also be charged with; d) reviewing appeals in which a student charges a faculty member with capricious or arbitrary grading practices which constitute an abuse of professorial discretion.

Membership shall include one tenured faculty member from each division and school in the College, nominated by the Faculty Cabinet and appointed by the Council. Faculty members will be appointed to staggered two-year terms. In addition, there will be one student representing each division and school, nominated by the Arts and Sciences representatives to the Student Senate and appointed by the Council; the Faculty Cabinet shall designate the Chair. The Faculty Cabinet shall be authorized to determine if conflicts of interest exist as cases arise (e.g., a member may not serve in instances involving appeals concerning the actions of faculty members in his or her department) and to appoint an alternate for the member excused from service. The appointment shall be made from a roster of alternates nominated by the Cabinet and appointed by the Council at the same time that the standing members of the Committee are nominated and appointed.

When the committee engages in fact-finding under responsibility "c" (above), the faculty member serving in the division or school in which the case under consideration is lodged shall be disqualified from participating; the committee shall then consist of four students and three faculty members. When the committee discharges its responsibility under "d," the student member pursuing a major in the division or school in which the case under consideration is lodged shall be disqualified from participating; the committee shall then consist of four faculty members and three students.

(Procedures for dealing with appeals of academic evaluations are in section 4.6.)

## 2.3 Curriculum Committee

### **2.3.1 Responsibilities**

This committee is charged with the following responsibility:

To evaluate in light of the educational goals of the College of Arts and Sciences proposals for course changes, deletions and modifications presented by departments and programs, and make recommendations to the Arts and Sciences Council on these proposals. Committee reports and recommendations must be presented to the council by the Chair of the Committee.

### **2.3.2 Membership**

The Curriculum Committee consists of one representative from each division and school in the College, each appointed for a 3-year term. Appointments are staggered such that one new member is appointed each year. Members are appointed by the Arts and Science Council upon the recommendation of the

Faculty Cabinet. The Council, at its spring organizational meeting, shall designate the Chair from among new and continuing Council members.

## 2.4 Diversity Committee

### **2.4.1 Responsibilities**

The Diversity Committee is a standing committee of the College of Arts and Sciences, effective fall, 2005. The Diversity committee will meet monthly during the academic year. Its tasks include:

- a. Reviewing progress toward increasing diversity in the college, including conducting audits on the status of diversity within the College on a regular basis;
- b. Proposing initiatives designed to promote diversity in the College as a whole or units within the College;
- c. Recommending specific goals and strategies for the recruitment and retention of diverse faculty, staff, and students; as well as on developing best practices in College business operations.
- d. Coordinating diversity initiatives and research on diversity with the University Diversity Committee;
- e. Overseeing monies budgeted toward College diversity efforts such as faculty development seminars;
- f. Monitoring efforts toward increasing diversity in higher education generally for how such efforts might be applied within the college;
- g. Providing advice to the College on strategic planning on diversity issues and generally serving as a resource for the College, and for the University when appropriate, on issues of diversity.

### **2.4.2 Membership**

The Committee will consist of five faculty members, one from each of the three divisions (Fine Arts, Natural Sciences, and Humanities and Social Sciences) and two at-large; two Arts and Sciences staff members; two Arts and Sciences students; and the Dean of the College (ex-officio). The term of service is two years and terms are staggered. The Chair of the Committee is selected from among new and continuing Council members at Council's spring organizational meeting and also will serve as one of the College's members on the University Diversity Committee when applicable.

### **2.4.3 Selection**

Committee members shall be nominated by the Faculty Cabinet and appointed by the Arts and Sciences Council. Staff members will be appointed by the Dean in consultation with the Committee. Student members will be appointed by the Dean on recommendation of the Arts and Sciences and Fine Arts Student Senators.

## 2.5 Arts and Sciences Promotion and Tenure Committee

A description of the Promotion and Tenure Committee's responsibilities may be found in 3.3.4: *Arts and Sciences Promotion and Tenure Committee Review and Recommendation*



### **2.5.1 Membership**

The Arts and Sciences Promotion and Tenure Committee is made up of six tenured faculty holding the rank of professor or associate professor; at least three members shall be at the rank of professor, and the associate professors must have been at that rank for at least four years by the time of their service on the committee begins, and at Drake for at least six years. Department chairs may not serve on the Promotion and Tenure Committee. Faculty members who commit to presenting their case for promotion are ineligible to serve on the Committee. Only one faculty member from a single department and only two faculty members from a single division or school may serve at any one time on the Promotion and Tenure Committee.

### **2.5.2 Elections**

Members are elected for two-year terms. Each of the three academic units -- the combined divisions of Humanities and Social Sciences, Natural Sciences, and the School of Fine Arts -- is represented by two faculty members each. All committee members are elected by the whole faculty. After serving one two-year term, a faculty member may be re-elected to the Committee only after the lapse of one year.

It shall be required that for all elections to the Promotion and Tenure Committee, the names of at least two persons eligible to be elected to a given position on the Committee shall appear on the ballot. To satisfy this requirement, the Faculty Cabinet is authorized to waive the requirement that a faculty member "may be re-elected to the Committee only after the lapse of one year," allowing for the election to a one-year term of a person whose two-year term has expired.

The election of Promotion and Tenure Committee members is held each spring in accordance with the College's election procedures. At its organizational meeting in the subsequent fall, convened by the Dean of the College, a faculty member shall be elected by the Committee to chair the Promotion and Tenure Committee for that academic year.

## **2.6 Technology Planning Committee**

### **2.6.1 Responsibilities**

The Arts and Sciences Technology Committee serves in an advisory capacity to the Dean of the College of Arts and Sciences on issues related to technology planning and implementation in the College. The Committee is responsible for working with the Dean to establish and annually update a technology plan that sets forth general goals for technology development and support in the College. The Committee provides advice to the Dean concerning implementation of the plan and allocation of computers and other technology equipment. The committee will hold regular meetings with the Chief Information Technology Officer to discuss: new or improved policies regarding technology, the progress of projects by the Drake Technology Services staff, and plans for technology expenditures. The goal of the committee is to advise on technology resources and expenditures, and also to improve the relationship and communication between DTS and faculty and staff.

### **2.6.2 Membership**

The Technology Committee consists of three faculty members, each appointed for a three-year term. One member each is from the School of Fine Arts, the Natural Sciences division, and the Humanities and Social Sciences division. Appointments are staggered such that one new member is appointed each year. The Chair of the Committee is selected from among new and continuing Council members at Council's spring organizational meeting. The Dean, or his or her designee, serves *ex officio*. The Educational Technologist also serves *ex officio*. The members are appointed using the standard procedures for appointment of standing committees.

### **2.6.3 Student Technology Fees Allocations**

The criteria for expenditure of funds as established in the Provost's Guidelines state: "All expenditures must enhance or maintain the fundamental core business of the University, student learning. Accordingly, all expenditures must be approved by the Provost and/or the Deans' Council. Each College and the University Library will submit an annual program plan indicating how expenditures will be directed."

Criteria for Evaluation of Proposals shall include, but not be limited to:

- Any funded proposal must demonstrate clearly how it will enhance teaching and learning.
- Projects that will provide for the needs of large numbers of students will be viewed favorably.
- High priority will be accorded to projects that seek to maintain and/or upgrade technology that already has been implemented in the College.
- Collaborative projects involving more than one program will be view favorably.
- To the extent appropriate, the committee will address needs in a balanced way across the College.

### **2.6.31 Proposal Timelines and Procedures**

Each semester the Dean will issue a call for proposals for Student Technology Funds. The dates and specifications for proposals are outlines in the Arts and Sciences Administrative Procedures Handbook: Part I. All proposals submitted to the Technology Committee must be approved by the Department or Program chair.

## **3. Faculty**

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### **3.1 Appointments**

#### **3.1.1 Tenure and Tenure-Track**

Tenure is an attainment by those who have demonstrated the qualifications required for acceptance as a permanent faculty member. It is a significant career recognition extended by the University. The quality of universities and their programs is inextricably linked with their tenure decisions. Since the awarding of tenure requires an assessment balancing the quantitative and qualitative efforts of the candidate, no formula defining a set number of publications, amount of service, or other objective measures has been established by the College.

#### **3.1.2 Consecutive Term**

Consecutive term appointments are not intended to fulfill departmental needs that require the permanence of a full-time, tenure-track faculty member. They are meant to serve short-to-mid-term needs brought about by special circumstances, for example, hybrid teaching-staff positions, or the replacement of a tenured faculty member who has been called to serve in the administration, but who retains his or her place as a tenured member of a department, and who could return to that position.

Unless otherwise stated in this Handbook, Consecutive Term Faculty have the same rights and responsibilities as tenure-track/probationary faculty. They vote in Department, College, and University elections, serve on committees, and teach a course load equivalent to tenure-track faculty. In addition, they are eligible for the same travel support and grant consideration as tenure-track faculty, as well as promotion and sabbatical. Like all fully credentialed faculty, they are also part of the salary pool and eligible for raises at the same scale as tenure-track faculty. Thus, the only difference between tenure-track faculty and consecutive term faculty is that consecutive term faculty cannot be granted tenure, though the position may be converted to tenure-track with approval through appropriate channels.

### 3.1.3 Probationary Appointments

#### 3.1.31. Initial Tenure-Track Appointments

Initial tenure-track faculty appointments will generally be made on a probationary basis, subject to annual evaluation to determine whether reappointment is warranted. Reappointment decisions will be made under the review procedures set forth in Sections 3.3.2 and 3.3.3, and based on the Criteria for Review of Faculty Performance set forth in Section 3.4.

To ensure an adequate and fair review, tenure-track faculty members shall be notified of the procedures to be followed and the criteria to be applied in the annual review/promotion process. To the extent a Department adopts departmental-level review or assessment policies, procedures, or criteria applicable to annual, promotion, or tenure reviews, they must be readily available and drawn to the attention of the tenure-track faculty member. Notice of such review procedures and criteria will be satisfied by providing a copy or URL link of the College Handbook and any Departmental procedures to the tenure-track faculty member at or around the time of initial appointment.

A tenure-track faculty member's probationary period may not exceed seven full-time years of service, at Drake University or otherwise. Up to three years of "credit" on the probationary track may be granted for full-time service with the rank of instructor or higher in university level appointments in other institutions, provided that the amount of credit for previous service is established at the time of initial appointment and specified in the written initial appointment letter. Four years of service at Drake is required prior to granting tenure, except with the special approval of the Board of Trustees.

Tenure-track faculty members are eligible, when experiencing a life event as defined by the *Academic Charter*, to request one or more one-year extensions of their probationary period as set forth in the University Academic Charter.

Annual renewal of an appointment during the probationary period is not, in and of itself, an assurance of an eventual award of tenure. At the end of the probationary period of service, the faculty member will be notified that he/she will be awarded either tenure or a one-year terminal contract.

#### 3.1.32. Initial Consecutive Term Appointments

Initial consecutive term appointments (non-tenure) track are renewable on an annual basis. A consecutive term appointment may continue as long as the annual contract is renewed by the College. The Dean will have the authority to negotiate, within existing University policy, the level of the initial appointment for faculty with prior non-tenure or other relevant experience. The initial letter of appointment should specify the years of previous promotion-relevant experience being credited to the faculty member in regards to promotion.

To ensure an adequate and fair review, consecutive term faculty members shall be notified of the procedures to be followed and the criteria to be applied in the annual review/promotion process. To the extent a Department adopts departmental-level review or assessment policies applicable to annual, promotion, or tenure reviews, procedures, or criteria, they must be readily available and drawn to the attention of the consecutive term faculty member. Notice of such review procedures and criteria will be satisfied by providing a copy or URL link of the College Handbook and any Departmental procedures to the consecutive term faculty member at or around the time of initial appointment.

## 3.2 Promotion in Rank

Faculty members in the College have eligibility for promotion as follows:

- From Instructor to Assistant Professor: Upon the Dean's receipt of official notice that all requirements of the degree in the specific program have been satisfied.
- From Assistant Professor to Associate Professor: Six Years
- From Associate Professor to Professor: Six Years

At the beginning of each academic year, the dean of the college, in consultation with the Provost and department chairs as appropriate, shall provide department chairs with the names of faculty members whose years of service in rank qualify them for consideration for promotion. Tenure-track faculty may request from the dean a one-year exception to the six-year requirement for eligibility for promotion, based on unusual circumstances.

Credit towards promotion may be granted for full-time service in rank in another institution; however, such credit should be specified in the initial appointment letter.

## 3.3 Annual Review, Tenure, and Promotion Procedures

### 3.3.1. Review Committees

#### 3.3.1.1. Department Review Committee(s)

All available tenured members of a department/program shall constitute the Department Review Committee of candidates for tenure. Departments/programs with two or fewer tenured faculty members shall add tenured faculty members from outside the department so that the review committee shall have at least three members.

In the case of review for promotion, the department shall determine who serves on the Department Review Committee. However:

- When considering promotion to associate professor, the Department Review Committee shall consist of at least three tenured members of the department. If this is not possible, the chair of the department must work with the Dean to find tenured faculty from other departments within Arts and Sciences to serve on the candidate's committee. If a candidate's position is spread among multiple department or programs, the composition of the Department Review Committee must reflect the conditions of appointment, and will be worked out in consultation with (and approved by) the dean.
- When considering a promotion to professor, at least three faculty at the rank of professor, drawing such faculty from outside the department and from a related field if necessary, must be on the Department Review Committee.

#### 3.3.1.1. Arts and Sciences Promotion and Tenure Committee

The purpose of the College of Arts and Sciences Promotion and Tenure Committee (herein "P&T Committee") is to formally review all departmental-level recommendations for or against tenure or promotion and make recommendations to the Dean consistent with the procedures set forth herein.

Each academic year, the Dean shall call an initial meeting of the P&T Committee to elect a committee chair, to review procedures, and to outline the committee's workload. The committee may request the Dean attend any particular meeting for the purpose of asking questions or any other reason. The Dean may, after receiving the Committee's recommendations, request a meeting with the Committee to ask questions of clarification or context.

### **3.3.2. Requirements for All Reviews and Evaluations**

**3.3.21 University Policies.** All evaluation procedures and practices must comply with the established equal employment policy of the University and with the university bylaws, academic charter, and faculty manual. The term "department" in this handbook also refers to programs that have their own chair or director.

**3.3.22 Department Standards/Procedures** In order to ensure adequate and fair reviews following initial appointment, the College shall maintain an up-to-date copy of this Handbook on the College's website, and for ready access by all faculty members. To the extent any Department adopts departmental-level review or assessment policies, procedures, or criteria applicable to annual, promotion, or tenure reviews, the Department must:

- a) obtain the approval of the College Dean before adoption;
- b) make the procedures readily available to new and continuing faculty, with such requirement being met by providing a copy or URL link of the procedures document to each department faculty member; and
- c) reasonably and promptly notifying all departmental faculty of any revisions to the procedures.

**3.3.23. Faculty Responsibility.** Faculty are responsible for knowing the Criteria for Review of Faculty Performance (see Section 3.4 below) and for presenting a record of achievement within these criteria during the applicable review or evaluation. Any exceptions to or exemptions from the criteria and standards shall be recorded in writing.

### **3.3.3. Annual Review of Probationary (Tenure-Track) and Consecutive Term Faculty**

#### **3.3.31. Procedures**

Review of probationary (i.e., tenure-track) and consecutive term faculty leading to recommendations for reappointment or non-reappointment will occur each year of the probationary period.

The annual review commences with the faculty member submitting a written record of their activities and accomplishments to the department, consistent with the evaluative criteria set forth under Section 3.6. In order to do so, the faculty member shall use the College's Professional Activities Record (PAR) form to submit this written record, which shall be available from all administrative assistants or otherwise upon request. Faculty must submit the PAR to his/her department chair by January 15, with the exception of second-year faculty, who must submit the PAR to his/her department chair by November 1.

Initial responsibility for evaluation of the performance of the faculty members rests with the department chair; however, all tenured faculty in the department must participate in the annual review, allowing those who are on sabbatical or other leaves of absence and those in their final year before retirement to be excused. The department must consider evaluations of teaching performance by students and peers conducted consistent with Section 4.7 and 4.8 of this Handbook, as well as the faculty member's PAR.

The chair, or another faculty member specified by the department, must then write an evaluative memorandum recommending reappointment or non-reappointment of the tenure-track faculty member. This memo should provide thorough comments evaluating teaching, scholarship and service. (Note: The purpose for the annual evaluation is to guide the candidate towards tenure; the department will carefully and critically analyze the candidate's teaching, mentoring, research and service activities, and will comment upon the candidate's progress towards tenure. While it is important to describe the positive progress of the candidate towards tenure, it is crucial that the department also explicitly point out areas for improvement.) The department shall use the Professional Activities Evaluation form (PAE) in preparing its memo. The PAE presenting the recommendation to the Dean should record who participated in making the recommendation, and the recommendation should be signed by all tenured faculty (person on sabbatical or other leaves of absence may be excused).

The PAE shall be provided to the faculty member and the Dean of the College by no later than February 15, or by November 15 for second-year faculty.

- In the event of a recommendation not to reappoint, the department shall give the faculty member the option to request reconsideration of its decision. The faculty member must submit the request for reconsideration within five calendar days of receiving the department's negative recommendation, and the department shall make a decision on the request for reconsideration within five calendar days of receipt of the reconsideration request. The department's decision on the request for reconsideration shall be in writing, signed by all those who participated in the reconsideration decision, and provided to the faculty member and the Dean of the College.
- In all annual reviews, the Dean of the College shall review (1) the PAR and PAE, and (2) the reconsideration request and decision, if applicable, and issue a written decision to the faculty member and department affirming or rejecting the department's recommendation for reappointment by no later than March 1, or by December 15 for second year faculty. The Dean has the discretion, but not the obligation, to request additional information or materials from the department and/or faculty member in reaching his/her decision. Conferences between the Dean and the department chair about recommendations regarding reappointment or non-reappointment are desirable in all instances.

Recommendations affecting third-year faculty are regarded as particularly critical. Persons for whom the eventual attainment of tenure and/or promotion is regarded as at all problematical should not be recommended for reappointment at any stage, but particularly not at this time.

Note: Section 3.3.31 does not apply to tenure-track faculty in the year of mandatory tenure review, typically the sixth year in the tenure track. Such faculty members' review will be conducted under the procedures for tenure review set forth under Section 3.3.41.

### **3.3.32. Expectations of Probationary (Tenure-Track) in Annual Reviews**

Throughout the probationary period, the faculty member should build a case for tenure in terms of the evaluative criteria set forth in Section 3.4, and the College should provide feedback at each evaluation period. Note that since growth as a teacher, scholar, and collegial contributor is expected, a performance judged to be excellent in the first year and second year will not necessarily satisfy expectations in later years.

*The First Year:* In the first year, evaluation focuses principally on teaching performance. If problems are apparent or difficulties are encountered but are judged to be correctable, then the

faculty person is advised to find ways of improving teaching effectiveness. Student assessments of teaching effectiveness are required, and the counsel of colleagues in the department should be sought. Grant proposals for support of scholarly or artistic work should be initiated if appropriate. Service beyond departmental involvement and participation in basic College activities is generally not expected.

*The Second Year:* Teaching effectiveness remains a major focus of concern. There should be clear progress toward overcoming previous difficulties and continued good performance overall. In the second year, probationary faculty should show some progress in establishing a record of productive scholarship and creative activity. The beginnings of a service record should also be indicated, including student advising.

*The Third Year:* A balance in the teacher/scholar or teacher/artist role should be well established. Any teaching problems should now be largely overcome and there must be little doubt about solid teaching effectiveness. There can be no grounds for reservations about the performance and promise of the individual as a contributing teacher/scholar or teacher/artist in the College community. The role of the faculty member in the department and the College is an important part of the evaluation process because each faculty member is expected to be an active teacher/scholar or teacher/artist involved in service to the College and University communities.

*The Fourth and Fifth Years:* These reviews are considered “pretenure” reviews. In both quantitative and qualitative terms, the faculty member must present a close approximation of fitness for tenure. He or she must provide clear evidence that a high level of performance has been attained. Any teaching deficiencies or weaknesses must have been overcome. Actual scholarly or artistic accomplishment should replace the indications of promise that were acceptable at earlier stages. The faculty member should also be building a record of service. Probationary faculty members should be aware that in the initial years in the tenure track their annual reviews are largely, though not exclusively, formative in character. The principal purpose of the reviews is to provide guidance and direction. Through the years in probationary status, the reviews incorporate a greater measure of summative considerations, as increasing attention is given each year to assessing the strengths and weaknesses of the person being reviewed, with the purpose of providing advice on the prospects of eventual tenurability. These probationary reviews, however, do not prejudice the recommendations of the department, Arts and Sciences Promotion and Tenure Committee, or the Dean of Arts and Sciences in the reviews taking place in the final tenure year.

Note: This Section 3.3.32 is intended to provide guidance on expectations for the benefit of educating new faculty. It is not binding in the case of any annual review and circumstances may warrant different considerations.

### **3.3.4. Promotion and Tenure Review**

#### **3.3.41 Tenure Review Procedures**

The tenure review occurs in the mandatory year of tenure review set forth in the faculty member’s appointment letter, typically the sixth year in the tenure-track. Tenure (and/or promotion) can be awarded only when a clear and convincing case supports such a decision.

#### *Departmental Level Review and Recommendation*

For each tenure candidate, the Dean will establish a timetable for the tenure review. Ordinarily, the department’s review and recommendation will be completed by October 1.

The tenure review commences with the submission of a set of credentials to the department chair by the faculty member, consistent with Section 3.3.42. The department chair shall provide the candidate's credentials to the chair of the Department Review Committee and shall convene that Committee to discuss those credentials. The faculty member being reviewed for tenure shall also be invited to appear before the Department Review Committee.

In its deliberations, the Department Review Committee must consider:

- The criteria to be used for tenure review are the evaluative criteria set forth in Section 3.4, as supplemented by the department's own statements and standards;
- Evaluations of teaching performance by students and peers consistent with Section 4.7 and 4.8 of this Handbook;
- The faculty member's submitted credentials consistent with Section 3.3.43; and
- Three or four letters of review from persons outside the University who are in a position to speak about the significance and promise of the candidate's work on scholarship/creative activity, and who have a personal relationship with the candidate of such a nature that the external reviewer can be expected and assumed to provide an objective review of the candidate's work. The letters shall be obtained as follows:
  - Both the department and candidate can suggest persons to serve as reviewers. The department, in consultation with the candidate, shall develop the final list of reviewers.
  - The candidate for tenure must be required to submit a statement in which the candidate briefly explains and discloses his/her personal and/or professional relationship with each prospective reviewer.
  - Reviewers shall not include those who served as dissertation director, thesis director, major advisor for post-doctoral research, a close acquaintance, or direct collaborator of the candidate.
  - Persons solicited for these reviews of scholarly/creative work should be provided with the necessary materials and the time to complete such reviews before the Department Review Committee begins its consideration of the candidate.
  - Correspondence with reviewers should urge that the candidate's scholarly or creative work be considered in the context of the primary emphasis Drake places upon teaching. A copy of the department's letter soliciting the review should be included with the materials submitted along with a copy of the *vita* of the reviewer.
  - All persons so solicited should be made aware that the candidate may see these letters when they are included in the file, unless he or she has waived the right to see them.

In the event of a positive recommendation by the Department Review Committee for tenure, its recommendation and all documentation considered by the Department Review Committee in



reaching its recommendation (including the external review letters), shall be forwarded to the Arts and Sciences Promotion and Tenure Committee.

In the event of a negative recommendation, the chair of the Department Review Committee shall write to the faculty member stating (1) the faculty member is not being recommended for tenure, and (2) the Department Review Committee's reasons for the negative recommendation.

- **Reconsideration.** Within ten business days of receiving the negative recommendation, the faculty member may request a reconsideration. If so, the Department Review Committee shall reconsider its recommendation, including scheduling a time for the faculty member to appear before the Department Review Committee to provide his or her perspective on the initial negative recommendation. The Department Review Committee shall make a decision on the request for reconsideration within ten business days of receipt of the request for reconsideration.
- **College-Level Submissions.** Should the negative recommendation of the Department Review Committee stand, the faculty member may submit an additional written statement to the Arts and Sciences Promotion and Tenure Committee, putting forth grounds for a positive recommendation for tenure. The Department Review Committee shall also then submit to the Arts and Sciences Promotion and Tenure Committee a detailed account of its proceedings, including an anonymous tally of the vote, and a statement of its reasons for the negative decision. The Arts and Sciences Promotion and Tenure Committee shall then consider all such materials in its review and recommendation of the faculty member for tenure.

#### *Arts and Sciences Promotion and Tenure Committee Review and Recommendation*

The Arts and Sciences Promotion and Tenure Committee (herein "P&T Committee") shall review the recommendation, credentials, and other applicable relevant materials of each candidate for tenure as follows:

1. For each meeting to review candidates, the P&T Committee shall maintain minutes of its proceedings, showing all motions, recording all votes (which are registered by secret ballot), and noting the principal areas discussed regarding each candidacy. Verbatim minutes are not required.
2. P&T Committee members who have participated in annual reviews of a candidate who is before the P&T Committee shall absent themselves from discussion and debate when that candidate is under consideration and shall not participate in those discussions in any way, including the final vote. Associate professors may not serve on the P&T Committee during the year they apply for promotion.
3. Unless otherwise excepted, attendance will be required of all members at all meetings in which candidacies are considered. Phone or computer-aided attendance may be occasionally permitted by the P&T Committee Chair in rare situations. Only in extraordinary circumstances will a member be excused, such as a member's extended illness occurring too late in the process to select a substitute, or agreement by the P&T Committee that a conflict of interest exists for a member involving a case under consideration. In such cases, this absence must be approved by the Chair and must be indicated in the P&T Committee's minutes.

4. Prior to the consideration of each candidate, the Dean or designee will provide the members of the P&T Committee with access to: (1) any departmental statement of criteria and procedures consistent with Section 3.3.22; (2) the candidate's initial letter of appointment; (3) the candidate's PAEs; (4) the candidate's submitted credentials; (5) the Department Review Committee's recommendation, including any record of proceedings as applicable for negative recommendations; and (6) any response to the Department Review Committee's recommendations as permitted by these procedures.
5. The deliberation of the P&T Committee regarding a candidate shall be conducted as follows:
  - i. A secretary pro tem shall be designated for each candidate. The secretary maintains an informal record of the issues. This will include a log of questions the P&T Committee may wish to ask of the candidate's chair.
  - ii. All members of the P&T Committee read and review the teaching, scholarship, and service record of the candidate, as reflected in the materials submitted to the P&T Committee.
  - iii. The P&T Committee will not compare candidates, except for consistency in writing the final letters.
  - iv. The P&T Committee may request a meeting with the candidate's chair to answer questions the P&T Committee has generated during its discussions of the candidate. A copy of the questions should be sent to the chair in advance of the meeting. If the P&T Committee has no questions for the department, the chair will be given the option not to meet with the committee. The meeting with the chair generally will occur after initial review and discussion of the individual's candidacy.
  - v. The P&T Committee may request from the candidate or the candidate's chair any materials it has not received. It may also request other materials it deems relevant to its discussion with the candidate's chair, including the candidate's course evaluations from her/his first or second year.
    - a. If materials are not supplied or if the department does not appear to be adhering to departmental or college review procedures, a candidate's file review may be postponed to a subsequent year. This decision shall only be made in consultation with, and with approval of, the Dean.
  - vi. Following full discussion of the materials and after meeting with the candidate's department chair if needed, a preliminary, non-binding vote is taken regarding the candidate's tenure and/or promotion. The secretary pro tem then drafts a clear, formal statement of the P&T Committee's preliminary recommendation and rationale on the candidate, and the draft statement will be edited and refined by P&T Committee members in a group session.
6. After considering all candidates, the P&T Committee will review its preliminary recommendations and affirm or amend them with a final vote. In other words, all actions until the final vote is taken are tentative. The P&T Committee's work is not completed until the Chair and all its members review the recommendations on all the candidates and attest to their accuracy by signing the appropriate recommendation form. In the event of a tie vote of the Committee, the recommendation is negative.

7. The Committee may request the Dean attend any particular meeting for the purpose of asking questions or any other reason. The Dean may, after receiving the Committee's recommendations, request a meeting with the Committee to ask questions of clarification or context.
8. All aspects of the P&T Committee's work—the discussions, debates, votes, preliminary recommendations/rationales, and materials reviewed—are confidential.

The P&T Committee's final recommendation/rationale on each candidate shall be sent to the Dean, along with the numerical vote for the P&T Committee's recommendation. The same recommendation rationale, minus the numerical vote on the P&T Committee's decision, shall also be sent to the candidate via email and within four business days of the date it is delivered to the Dean. The faculty member may submit a response to the recommendation/rationale within two weeks of receipt. If a response is submitted, the Dean must consider it and retain a copy in the tenure materials accompanying the Dean's recommendations to the Provost.

#### *Dean Recommendation*

The Dean, upon receiving the recommendations from the P&T Committee, shall consider them in the light of her or his own review of each candidate's credentials and record of performance. The Dean may be given an opportunity to question the P&T Committee concerning its recommendations, after they have been presented, in order to gain information to be used in forming her or his independent judgment on the strengths of the candidates.

The Dean shall submit to the Provost his or her recommendations for action on each candidate. Each recommendation must include (1) a copy of the P&T Committee's recommendation/rationale, with notes on whether the Dean concurs or differs from the recommendation/rationale of the P&T Committee, and (2) any response to the recommendation/rationale timely submitted by the faculty member. The Provost may meet with the P&T Committee to discuss any recommendation/rationale about which the Provost may have questions.

If the Dean determines that the candidate does not merit tenure, the Dean must specifically inform the candidate of that determination. The candidate may appeal the Dean's negative tenure decision to the Provost within two weeks of the notification of the decision of the Dean. The Provost's review will be carried out in line with the University Academic Charter and other applicable policies and procedures.

#### *University Decision*

Positive recommendations from the dean must be approved by the Provost and sent to the President who submits it to the Board of Trustees for approval. If the University grants tenure, the faculty member shall be afforded the full rights and privileges of tenured faculty. If the University does not grant tenure, the faculty member shall be given a terminal contract. If the candidate chooses to appeal the University decision, the appeal will be carried out in line with the University Academic Charter, Section VIII.

### **3.3.42 Promotion Review Procedures**

The procedures for promotion shall be the same as those for tenure, set forth above in Section 3.3.41, with the following exceptions and/or additions:

1. If a candidate is not recommended for promotion by both the P&T Committee and the Dean, the recommendation shall not be submitted to the Provost. Instead, the faculty

member shall not be granted promotion, and is eligible to re-apply for promotion the next academic year, or any year thereafter.

2. If the University does not grant promotion, the candidate is eligible to re-apply for promotion the next academic year, or any year thereafter.
3. Promotion to the Rank of Professor:
  - a. The candidate will notify the department/program chair of intent to seek promotion to professor by October 1 of the year before submitting materials.
  - b. The Departmental Review Committee should arrange to carry out observations of classroom teaching, as well as review student evaluation forms, for all courses taught in each of the two semesters prior to consideration for promotion. If the department/program has accumulated systematic data on teaching effectiveness equal to these requirements, that may be used instead of observations.
  - c. The external evaluative review letters must hold an academic or professional rank equal to that to which the candidate aspires.

#### **3.3.43 Faculty Credentials**

A faculty member being reviewed for tenure and/or promotion shall prepare a set of credentials supporting the faculty member's candidacy. The credentials shall include a self-reflective statement (see Appendix A for guidelines for preparation) in which the candidate discusses her/his record and indicates plans for future development, supported by evidence including:

- a. A current *vitae*. The *vitae* should list the candidate's educational attainments and professional positions held, giving status and rank as appropriate. It should also present the record of achievement of the candidate in teaching, scholarship and creative activity, and service.
- b. Student evaluations for every course taught, including summer and J-term, and all reports prepared by peer observers. Student evaluations from the three years preceding the tenure review must be submitted. These must be submitted in their entirety rather than in the aggregate, since aggregate results do not allow the reading of positive and negative comments within context.
- c. Attachments showing evidence of scholarship or creative work appropriate to the faculty member's discipline or interdisciplinary areas. These may include products of the faculty member's work and any critiques or evaluations provided by reviewers of that scholarly work or creative activity (for example, book reviews, critiques by article reviewers, observer reports, etc.).
- d. Attachments showing evidence of effectiveness in service to students, the university, one's profession, and the community.
- e. Attachments showing evidence of effectiveness in advising and mentoring.
- f. Letters of support or recommendation, which will be attached to the candidate's application file or sent directly to the department chair for inclusion with the candidate's credentials.

- g. All other evidence the candidate wishes to submit with respect to his or her achievements concerning the established criteria.

#### **3.3.44 Post-Tenure Evaluation**

After grant of tenure, faculty members will be evaluated annually. Tenured faculty shall submit a PAR to their department chair every three years. Any PAR due in January is to address the previous calendar year. In non-PAR years, tenured faculty use the Professional Activities Highlights and Evaluation (PAHE) form, summarizing the most important accomplishments of the year, and submit the PAHE to the Department Chair. Either a PAR or PAHE may be appended with a CV. Upon receipt of the PAR or PAHE, the Department Chair shall evaluate the faculty member, preparing a PAE. The PAE, accompanied by the PAR or the PAHE, are to be submitted to the Dean by February 15.

**3.3.45 Evaluation of Department Chairs.** Evaluation of the performance of department chairs follows the procedures of Section 3.3.44, except the Dean does the evaluation.

### **3.4 Criteria for the Review of Faculty Performance**

Fundamental to Drake's stated mission "to provide an exceptional learning environment" for students is the intellectual vibrancy of its faculty. This primary goal of promoting learning and intellectual growth among our students is achieved through faculty who: continually develop and revise their teaching practices based on engagement with current pedagogical approaches in their discipline; are active scholars who reflect thoughtfully about the relationship between their scholarship and their teaching; and are committed institutional citizens who perform strategic service to the University and the profession in ways that draw on and contribute to their teaching and scholarship.

What does this mean in terms of the criteria for the review of faculty?

Drake seeks to encourage its faculty members to develop, ideally, a balanced approach to the demands of university life. Teaching becomes more effective if fully informed by disciplinary best practices and if continually refreshed by the current knowledge of the practicing scholar. An active scholarly life renews the intellectual energy and drive of the scholar/teacher and grants students participatory access to the most recent advances in disciplinary knowledge and development.

Service, whether faculty governance, curriculum development and oversight, the advising of students, service to the profession, or any number of other commitments to the maintenance of college life, also deeply involves faculty in creating the environment within which good teaching and scholarship can flourish. Tenure or promotion will be earned through substantive and high quality activity in all three areas.

At Drake, the bedrock of all such development is necessarily teaching. Fulfilling our responsibilities to instruct our students is core to our mission. Excellent scholarship or a fine service record or both cannot compensate for lack of success in teaching.

The College recognizes that assessment of performance is complex. Different disciplines have understandably different practices in both teaching and scholarship; many service responsibilities are collaborative in nature, making an individual's contribution sometimes difficult to document. Departments have autonomy to set the explicit guidelines for teaching, scholarship, and service in their disciplines. Departments are not required to adopt their own guidelines, but doing so creates the obligation to inform candidates of and adhere carefully to such guidelines.

What follows are specific College-level requirements for each area of faculty performance. Each section includes suggestions for assessment at the departmental level.

#### **3.4.1 Teaching**

Effective teaching is essential to the University mission. At the core of effective teaching is reflection and revision. The College recognizes that effective teaching is an ongoing process rather than a single “achievement,” that methods and activities may be revised based on developments within a faculty member’s discipline, or based on experimental pedagogies. The development of a teacher’s own scholarship may factor into course revisions. New understandings of students’ patterns of cognitive growth and/or social adjustment may occasion a shift in emphasis or teacher responses within a course. Thus, the progress of a faculty member’s teaching over time will reflect continual attention to and development of the following qualities:

Expertise in the discipline or interdisciplinary areas and mastery of the subject matter one teaches.

- a. Expertise in the discipline or interdisciplinary areas and mastery of the subject matter one teaches.
- b. A commitment to student learning which includes the ability to: articulate learning outcomes and define instructional objectives; develop students' skills consistent with course objectives; provide students with explanatory course statements, assignments and other materials; give timely and useful feedback; respond to student communications outside of class in a timely fashion; give clear grading guidelines; and generally foster a respectful atmosphere which engages students' minds and motivates students to perform to the best of their ability.

In addition, effective teaching activities may include:

- c. Mentoring, which encompasses activities similar to apprenticeship-preparation for entry into a profession or career. Mentoring activities typically occur outside the classroom and may include assisting students on choosing graduate or professional schools; preparing letters of recommendation for graduate scholarships, graduate studies, or employment; discussing career options; directing independent studies and undergraduate research, and assisting students in identifying and obtaining internships and/or professional experiences.
- d. The development of models, equipment, inventions, printed or computer-based instructional materials, or audiovisual materials that further the teaching of a discipline.
- e. Other activities the candidate's department identifies and justifies as meriting consideration as directly related to teaching performance, such as developing service learning or study abroad experiences. Departments are expected to recognize teaching done in interdisciplinary areas, including team-taught, cross-disciplinary courses, and to consult with the director of applicable programs in conducting the evaluation.

**Department Assessment:** To the extent necessary, each Department may develop its own practices to assess instructional skills and accomplishments as they apply to effectiveness in teaching in its disciplines. For instance, a Department may develop a statement which describes:

- i. any special requirements not described above, if any, or unique standards of teaching effectiveness and performance expected within its disciplines;
- ii. any specific mentoring practices the department has in place for tenure-track faculty, and what these may require of the untenured faculty member.

### **3.4.2 Scholarship/Creative Activity**

The evaluation process of scholarship/creative activity focuses on the trajectory of a faculty member’s scholarship over time. In general, all departments look for a record of scholarly and creative achievement

that demonstrates a commitment to continued growth and accomplishment, and offers the promise of future contributions to their field. Scholarship and creative activities may be demonstrated in a variety of ways; they show a candidate's mind at work and his or her skills in practice in the appropriate field(s) of endeavor. They help to ensure that those responsible for teaching and learning remain current in their disciplines, particularly when their fields are among those whose protocols, norms, methods, and tenets change relatively rapidly.

Often these activities not only advance knowledge and understanding, they may also contribute to high quality teaching. That is, they connect faculty to the daily lives of students, whom we all expect to contend with difficult ideas, engage with new concepts, and take part responsibly in the production of knowledge. An active creative or research agenda, then, maintains faculty credibility to assign and evaluate student work. Our own engagement in scholarship and creative activity is one way we continually "earn" the privilege, in other words, of passing judgment on our students' work.

Scholarly and creative activity enhances the academic reputation of the University and demonstrates the quality of its faculty as measured by terms set outside the University itself. Ideally, the public dissemination of such work models a courageous and receptive attitude toward critique, dialogue, and dissent, and provides opportunities for us to think deeply about, and even rethink, our disciplinary and professional assumptions. Thus, scholarly and creative work may contribute to public conversations and policy change as well as to a professional discourse.

There are many ways to demonstrate engagement in scholarly and creative activities, however, for the purposes of faculty performance, these activities must be public – that is, they must be presented in a form that allows others to enjoy, critique, and evaluate them according to the standards of their field. An idea, product, or performance which cannot be subjected to some form of critical examination by peers is not scholarship or creative activity as here defined.

The record submitted for review may include elements in the following list. This list is suggestive rather than fully inclusive, but in all cases, refers to work that exists in some public form or forum, and that can be evaluated by peers. Given the undoubted difference across disciplines in considering what "counts" as important to publication in the field, the items in the lists below are given in alphabetical order rather than in order of importance.

- a. Artistic activities that are subject to critical evaluation, where practicable, including musical recitals and/or concert performances, publication or performance of original musical compositions, exhibitions of art work in individual or group displays, involvement in creative aspects of theatrical productions (i.e., stage/costume/lighting design, direction or choreography, acting or play writing), public readings of one's own creative work in prose and/or poetry, or other appropriate evidences of artistic activity;
- b. Community-based and community-engaged scholarly and creative activities that have some public dimension—presentations or publication locally or nationally;
- c. Editorial work in the production of an edited volume or the editing of a journal;
- d. Grants and awards applied for and those received for scholarly and creative activity;
- e. Interdisciplinary or multidisciplinary work published in venues outside the candidate's discipline;
- f. Invited publications (books, articles, book chapters, book reviews, etc.);
- g. Peer-reviewed articles, books, book chapters;
- h. Presentations at conferences, public lectures, peer-reviewed or invited;
- i. Scholarly and creative activity translated for public or policy audiences, such as op-eds, position papers, policy analysis, websites, open-source technology;
- j. Scholarship and creative activity that involves students in significant ways;

- k. Scholarship undertaken *for the purpose of* allowing undergraduate research, that is, research a faculty member may have undertaken in addition to his/her primary research, so that students could participate;
- l. Textbooks, learning materials, computer-based instructional materials that are published or otherwise evaluated and distributed by appropriate organizations and groups;
- m. The scholarship of teaching and learning, including evaluation of pedagogical strategies or research designed to broaden or improve course offering.

The College recognizes there is a significant distinction between scholarship that can be satisfactorily demonstrated by reporting on results of a particular idea that has not been explored before, and scholarship which involves long periods of gestation during which major ideas are worked and re-worked in ways that do not admit of intermittent publication or other demonstrable critical examination by peers. There is good reason to provide time for such reflection rather than requiring premature publication as a criterion for scholarship. Faculty review is meant to understand the development of the scholar and teacher and to understand that moments of design, research, reflection, and writing all deserve ample time in which to develop. At the same time, there must be strong indicators that any delay in making research public is not merely procrastination.

Thus, activities for consideration may include unpublished research—papers or manuscripts that have not been published or presented in a public forum but are in process, existing at a stage where critical review by peers from off-campus is feasible; printed material, judged by peers to demonstrate scholarship, prepared for classroom use; awards and citations for excellence or for contributions in a discipline. If much of a candidate's research is published in non-traditional ways, that person would need to provide some assurance of the work's quality. In year three and following, it would be in the candidate's interest to demonstrate the quality of their research by whatever means available, including published reviews, responses to online blogs, evaluator comments from other scholars working in similar venues, etc.

**Department Assessment:** Since the recognition of scholarship varies among departments and disciplines, each department should develop its own practices to assess scholarly and artistic achievement as they apply to its disciplines. If a department has special or unique standards of scholarly or artistic achievement within its disciplines, it shall adopt a statement describing them consistent with Section 3.3.22.

### 3.4.3 Service

Service is a vital and valued component of academic life and is integral to the healthy functioning of the College and University. The nature of service at the College and University- level provides many opportunities for faculty members to participate in various types of service appropriate to individual interests and talents and at different points in an academic career. In order for faculty to have a voice in the development of departmental, college, and university goals and policies, each member must play a part over the course of his or her career in appropriate committees and in the deliberative and governing bodies of the University.

The College of Arts and Sciences emphasizes that all faculty must participate in service but makes clear that service, however extensive and noteworthy, within the University or professional service outside the University, cannot *substitute* for strong, effective teaching and sustained scholarly/creative activity. Nevertheless, service is *required* for the awarding of tenure and promotion; thus a candidate with no or negligible service may be denied tenure or promotion.

In general, service includes constructive work in the activities named below. This list is illustrative, and may not include all possible service activities in all disciplines. Moreover, there are often service duties that are particular to an individual faculty member. For example, faculty from a historically



underrepresented group, may be sought out for advising by students who identify with them and seek their guidance.

The categories listed are intended to make clear the different levels (or types) of service, but “level” does not imply that one sort of service is better than another. “Level” simply refers to whether the candidate is serving on committees or in a leadership role within the department, the College, or the University. When service obligations overlap significantly with teaching or scholarship or both, it is best to make that overlap clear and describe significant connections among service, scholarship and teaching.

a. Service in support of the department or program:

- i. Administration
- ii. Department committees for policies, procedures, hiring, etc.
- iii. Operations (e.g., labs, shops, studios)
- iv. Accreditation
- v. Curriculum development
- vi. Alumni relations and external communications
- vii. Program management

b. Service in support of the College or the University:

- i. Administration
- ii. Governance committees
- iii. Task-oriented groups (ad hoc, subcommittees, task forces)
- iv. Search committees
- v. Directing a program or interdisciplinary unit outside of the department.
- vi. Promoting collegiality and university goals through attending and participating in university activities
- vii. Serving as a representative of the department, college or university by designation of the President, the Provost, or the dean of the college
- viii. Admissions and recruitment.

c. Service in support of students:

- a. Academic advising responsibilities including discussion of course selection and scheduling, future career goals and professional planning, internship opportunities, adjustment to college, study abroad, reference to available campus resources as needed, and personal circumstances that may affect academic performance.
- b. Advising student organizations or publications.
- c. Adjudication of student events and competitions, both for present students and adjudications connected to recruitment and admissions.
- d. Encouraging student research, publication, conference presentation
- e. Writing letters of recommendation and support.

d. Service in support of the candidate’s field of study, profession:

- i. Leadership roles in professional organizations or at conferences.
- ii. Serving on local, state, or national boards, commissions, or advisory groups or as an officer or board or committee member within a professional organization.
- iii. Editing a professional newsletter or working as a peer reviewer for funding agencies, journals or academic publishing houses.

- iv. Contributing professional expertise, advice or commentary to a newspaper, radio show, TV show or other media outlet.
- v. Lecturing or otherwise contributing professionally to community groups and organizations.
- vi. Involvement in P&T reviews for other Universities.
- vii. Program review and accreditation work for other Universities.
- viii. Consulting work, paid or unpaid
- ix. Journal editing and other significant forms of editing, if *scholarly* in nature, should be considered in the scholarship section.

**Department Assessment:** Departments are encouraged to assess the quality and quantity of service, expectations of evidence from candidates (e.g., a full description of their specific contributions to committees, letters from committee chairs, or from members of a committee that a candidate has led, documents produced for conferences or community events, etc.), and special or unique standards of the department relating to service, and develop guidelines or procedures consistent with Section 3.3.22. If a *particular* service is required within a department, (e.g., adjudication, student recruitment) that requirement, and all assessment practices associated with it, must be described clearly and in a timely manner to all faculty, especially tenure-track faculty undergoing yearly reviews leading to tenure. In the case of faculty members directing interdisciplinary programs, the department must make clear what its assessment practices and expectations are with regard to that work.

Departments are also encouraged to mentor new faculty appropriately to help them achieve a balanced program in the years leading up to the tenure.

## 3.5 Sabbatical Leaves

Sabbatical leaves are awarded in accordance with University policy, with these additional provisions:

**3.2.1** Applications are to be submitted to the Dean, through the department chair, who shall refer them to a four-person sabbatical leave advisory committee, appointed by the Dean with the approval of the Faculty Cabinet from the roster of persons who have been on sabbatical leave in one of the two previous academic years.

**3.2.2** To be eligible for sabbatical leaves, faculty members must have served at Drake at least six years, with the exception of those applying for pre-tenure sabbaticals.

**3.2.3** The applications shall be evaluated with five principal considerations in mind:

- a. the applicant's record of performance at Drake;
- b. the clarity of the purpose and the plan of activities to be undertaken during the leave;
- c. the benefits to be derived by the University;
- d. the benefits to be derived by the individual, particularly as they hold promise for rejuvenating
- e. the spirit and enlarging the competence of the individual to perform his or her duties in the College;
- f. the amount of time elapsed since the candidate's previous sabbatical.

**3.2.4** In reviewing the applications, the advisory committee may ask the applicants to provide additional information.

**3.2.5** Department chairs, in assessing the applications, shall advise the Dean of the arrangements necessary for covering the applicant's assignments and the costs of such arrangements. Such information is not included in the credentials reviewed by the sabbatical leave advisory committee.

**3.2.6** The advisory committee shall submit its recommendations to the Dean in rank order, with comments.

**3.2.7** Upon completion of the sabbatical leave, recipients must submit a report to their Dean summarizing activities and accomplishments during the leave.

**Report Guidelines:**

- a. The sabbatical leave report is due to the Dean one month after the start of the academic semester following completion of the sabbatical leave.
- b. The Sabbatical Leave Report will become a permanent part of the faculty member's file and will be considered at the time of future applications for sabbatical leave.
- c. Consistent with sabbatical leave approval criteria (Section 3.2.3) the Sabbatical Leave Report:
  - must provide a summary of activities and accomplishments during the sabbatical leave, including a discussion of writings or creative work completed, reports of manuscripts or artistic work submitted for publication or review, and any other personal and professional goals that were part of the proposal
  - the benefits that the individual believes will accrue to the University/College now that the leave is completed.
  - the benefits that were derived by the individual as a result of the sabbatical.

## 3.6 Faculty Teaching Load

The semester-hour load of full-time faculty members shall be consistent with University policy. A faculty member's specific load shall be determined by such factors as: advising responsibilities, the student credit-hour load, the number of preparations, laboratory and/or supervisory responsibilities, the level of the courses taught, administrative and service duties within the College, and the scholarly pursuits or creative activity in which the faculty member is currently engaged.

## 3.7 Faculty Honors

**3.7.1** The A&S Outstanding Teacher of the Year

Each year a College faculty member is honored for excellence in teaching. The honoree receives a plaque, a cash award and delivers an address at the following year's A&S Honors Convocation. The Outstanding Teacher of the Year award is funded by an endowment established by Dean and Sue Wright.

- a. Teacher of the Year Committee: In early fall of the academic year, the Faculty Cabinet will appoint a Teacher of the Year Committee composed of two students and four faculty members representing the divisions in the college. One member will be the most recent recipient of the Teacher of the Year Award, who will serve as committee chair. If the most recent recipient is unavailable due to sabbatical, retirement, etc., the Faculty Cabinet will appoint another suitable chair.

- b. The Teacher of the Year Committee will solicit nominations on a rolling basis from students, recent alumni, and faculty colleagues. The college should announce a call for nominations at College events and ceremonies. Calls for nominations should also be made via emails, campus communications, or College electronics communications such as newsletters. At least two calls for nomination should be made, one late in the fall semester and a second prior to February 1. The deadline for submitting nominations is February 15, and all nominations made within the prior 12 months will be considered eligible. All nominations should be submitted using an online form.
- c. Candidates will be considered for the Outstanding Teacher of the Year award for a total of two years – the year in which they are nominated and the year immediately following the nomination year. For example: candidates nominated in 2023 will be considered for 2023 and 2024. Nominees who either do not want to be considered in the second year or who want to update their materials in the second year shall contact the committee Chair.
- d. Eligibility for the Award: Nominees must be full-time, continuing faculty in the college of the Arts and Sciences. Nominees must have completed at least three years of service at Drake. A Teacher of the Year honoree is ineligible for consideration for a period of five years after receiving the award.
- e. After receiving nominations, the Teacher of the Year Committee will contact nominees and request a portfolio containing evidence of teaching effectiveness. To be complete, the portfolio must include a letter of support from the nominee's chair that references (but does not include) student evaluations and up to three additional letters of support from current students or recent alumni. Actual student evaluations are not to be included in the nomination materials. In the event that a nominee is chair of a department, a letter from a senior faculty member familiar with the nominee's teaching should be solicited by the nominee in place of the letter from the chair. Portfolio materials submitted by midnight on the last Friday before Spring break, will be considered for the current year's award. Portfolios or individual materials submitted after this date and time will not be considered for the current year's award, but will be considered for the following year.
- f. Any committee member with a potential conflict of interest (e.g., members of a nominee's department, those with current/past personal relationships, students who have had the nominee as a professor) should alert the committee of the potential conflict. The committee should have an opportunity to discuss, ask questions, and determine whether the person should be recused for purposes of consideration.
- g. The Teacher of the Year Committee will consider each nominee's teaching excellence using the submitted letter(s) of support, using criteria including: innovative teaching practices, enthusiasm for teaching and/or the subject matter, personal commitment to students, and overall effectiveness in facilitating student learning. The committee will

determine the recipient by majority vote. All committee deliberations are confidential. The recipient's name is to be kept secret until it is announced at the Honors Convocation by the committee chair.

The committee must inform the dean of its decision by April 1.

### **3.7.2 The Centennial Scholar Award**

The *Centennial Scholar Award* is presented in even-numbered years to a faculty member in the College in recognition of distinguished achievements in scholarship. The guidelines are as follows:

- a. The Centennial Scholar Award Committee consists of previous recipients of the award, typically the three most recent recipients.
- b. The Dean, in consultation with the Committee, will send an announcement, including guidelines and nominations forms for the Centennial Scholar Award, to each Department in May of even numbered years. A nominee must be a faculty member holding the rank of professor or associate professor (in at least her/his fourth academic year at that rank). Previous recipients are not eligible. The criteria for selection include professional contributions through scholarly/creative activity, holding leadership roles in the profession/discipline, consulting activities related to scholarship and research, and contribution to the mission of the department, college, and university.
- c. Each department may nominate faculty members as candidates. By September 1, nominations are presented to the Dean for forwarding to the Committee. It is important for chairs to ensure that departments consider nominating faculty members as candidates for this award. Because chairs may be reluctant to lead processes that might result in their own nomination, it is the prerogative of the Dean to invite senior faculty in departments chaired by prospective candidates to prepare nominations. If any department fails to nominate a faculty member whom the Committee and/or Dean considers viable, the Committee may add that faculty member's name to the list of nominees.
- d. By September 15, the Committee, after reviewing the nominations, will select a slate of finalists and inform the Dean of its selections.
- e. Departments will provide additional material on each of these finalists to the Committee by the beginning of March. This material will include: copies of the finalist's scholarly work (books, articles, paper presentations, and published reviews of such work); a brief report on the quality of the presses and journals that have published the finalist's work; and, in the case of work in a language other than English, a brief report on the finalist's work prepared by someone familiar with that language.
- f. This material is to be collected by the Dean and is to be readily accessible to members of the Committee for their review.
- g. The Committee will determine the award winner from among the finalists and inform the Dean of its decision by October 1.

### **3.7.3 The Stalnaker Lecture Award**

The *Stalnaker Lecture Award* is presented to a distinguished faculty member who is invited to present a

lecture to the University community on a topic in his or her discipline in October. This award is funded in part by the emeritus professors of the College. Selection of the award recipient is by a committee consisting of the three most recent Lecturers and a representative of the emeritus faculty. The lecturer must be a faculty member holding the rank of professor or associate professor (in at least her/his fourth academic year at that rank). Previous recipients are not eligible. Nominations are due to the Dean by September 1.

### **3.7.4 Arts & Sciences Distinguished Engagement Award**

The College of Arts & Sciences established the Distinguished Engagement Award to recognize outstanding contributions of Drake faculty and staff to the college community.

- a. Criteria for the award may include
  - a demonstrated personal commitment to Drake-related volunteerism and campus engagement;
  - an outstanding record of leadership or substantial involvement in community projects, services and activities contributing to the quality of life in our institution;
  - professional and personal values and behavior that typify the integration of citizenship and professional responsibility.
- b. Eligibility: The nominee must be a current faculty or staff member with at least five years of employment at Drake. The recipient will be announced by the chair of the Faculty Cabinet at the fall Stalnaker lecture
- c. Procedures: Letters of nomination are to be submitted to the A&S Faculty Cabinet by September 1. One nomination letter detailing specific examples of how the nominee exemplifies each of the application criteria is desirable. The recipient will be selected by a committee consisting of the A&S Faculty Cabinet and a staff member appointed by the dean.

## **4. Policies and Procedures**

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### **4.1 Legislative Procedure for the Arts and Sciences Council**

**4.1.1** Legislation may be generated by Council members, faculty members, or students of the College of Arts and Sciences.

**4.1.2** Potential legislation in the form of a specific recommendation or a suggestion may be processed in one of the following ways

- a. It may be sent directly to a standing committee.
- b. It may be introduced under new business by a Council member.

**4.1.3** Legislation introduced under new business shall be governed by the following rules:

- a. Motions calling for policy change may be debated but cannot be voted upon until the following meeting. Such a motion shall be left pending and included on the agenda of the following meeting unless referred to a committee.
- b. Motions or suggestions may be referred to standing or ad hoc committees by action of the Council.

**4.1.4** Robert's Rules of Order are the basic rules for the operation of the Arts and Sciences Council.

**4.1.5** The meetings of the Arts and Sciences Council and committees of the Council shall be open to the faculty, students, and administration. An exception to this shall be the meetings of the Promotion and Tenure Committee. Other committees may vote to close their meetings where appropriate. A non-member of the Council or of any committee of the Council, shall be allowed speaking privileges by consent of the majority of the members present.

**4.1.6** Council may, at its discretion, seek the advice of Faculty Cabinet.

## **4.2 Rules and Procedures Governing Elections in the College of Arts and Sciences**

If at all possible, the election for positions on the Arts and Sciences Council and other elected bodies shall be conducted in the spring semester of each year.

### **4.2.1 General**

- a. To be eligible to hold elective office, an individual must hold a full-time, tenure or tenure-track or consecutive term appointment in the College of Arts and Sciences with no more than half-time administrative duties, and not be on leave during any part of the term of office. In the case of faculty members with dual teaching appointments, no more than one-third of their yearly regular semester teaching assignments may be in courses outside the College of Arts and Sciences.
- b. To be eligible to vote in a College of Arts and Sciences election, an individual must hold a full-time, tenure or tenure track or consecutive term appointment in the College of Arts and Sciences. In the case of faculty members with dual teaching appointments, at least one-half of their yearly regular semester teaching assignments must be in courses offered in the College of Arts and Sciences. Administrators whose original Drake appointment was as full-time faculty of the College and who maintain some teaching responsibilities are eligible to vote. Excluded are part-time appointments; adjunct, acting, visiting, and emeritus appointments; and administrators holding faculty rank in the College, but not actively involved in teaching, or whose faculty appointments are only concurrent with their administrative appointments
- c. Elections shall be conducted using Qualtrics.
- d. Election for the Promotion and Tenure Committee (P&T) shall be held first, followed by a combined election for Arts and Sciences Council, Faculty Cabinet and Faculty Senate Divisional.
- e. An Associate/Assistant Dean and any faculty or staff member selected by him/her for each election shall serve as the Board of Tellers.
- f. Except for membership in the Senate and the Arts and Sciences Council, which are governed by their own rules, no person may succeed him/herself in office. This rule shall not apply to an individual who has been elected to fill out a partial term created by a resignation or some other cause.
- g. The Associate/Assistant Dean shall notify the faculty of the results of any election within a reasonable time period.

- h. The Associate/Assistant Dean and any Tellers may void an election if there is an error in the preparation of the ballot and if the Arts and Sciences Office is notified of the error prior to the deadline for the return of the ballot.
- i. Any Arts and Sciences faculty member may appeal a decision of the Associate/Assistant Dean to the Faculty Cabinet for a final decision.

#### **4.2.2 Nominations**

- a. At the beginning of each spring semester, the Arts and Sciences Dean's Office shall provide to the faculty a list of open positions on elected committees (P&T, Cabinet, Council and Faculty Senate Divisional) and appointed standing committees (Academic Integrity, Curriculum, Diversity, and Technology) for the following year. Faculty will be asked to indicate their preference for one elected committee and their preference for a standing committee. Anybody not elected to P&T Committee, Cabinet, Council or Senate will be in the pool to serve on an appointed committee. All faculty members are normally expected to serve on elected bodies and appointed committees. If there are extenuating circumstances, a faculty member may request in writing to the Dean to be relieved of such obligation for that year. If the requests of those persons are approved, their names shall not be placed on the ballot(s) involved or considered for appointment to the designated committees.
- b. The election for the P&T Committee shall be held first on a separate ballot. The Arts and Sciences Dean's Office shall prepare the ballot with names of those eligible who indicated a preference for the position. Write-in nominations (including self-nominations) are acceptable.
- c. After the open positions on the P&T Committee are filled, the Arts and Sciences Dean's Office shall prepare one ballot listing open positions for the three elected committees, with names of those eligible who indicated a preference for the position. Write-in nominations (including self-nominations) are acceptable.
- d. Election results will fill all positions on Council, Cabinet and Senate.

### **4.3 Procedure for the Selection or Removal of a Departmental Chairperson**

#### **4.3.1 Selection**

Not later than February 1 of the third year of any three-year term or at any other time that the position of Chairperson becomes vacant, the Dean will notify the appropriate department that it is time to reconsider the department chair position. Each department will follow democratic procedures in order to ensure participation of all full-time (excluding temporary and terminal\*) departmental faculty in making a written departmental recommendation to the Dean. The incumbent Chairperson will convene the department to select a member of its own faculty or someone outside the department to serve as Selection Coordinator. The Selection Coordinator will solicit confidential nominations for Chairperson from full-time members of the department. Those nominated will be notified by the Selection Coordinator.

Those nominees accepting nomination will consult individually with the Dean to discuss the nature and responsibilities of the position and their personal interest and goals. Following these consultations, the Dean will notify the Selection Coordinator of the acceptability of the candidates; the Selection Coordinator, in turn, will meet with the individual nominees to determine their willingness to have their names placed on the departmental ballot. Should either the Dean or the department elect to consider the possibility of an outside candidate for Chairperson, the full-time department members and the Dean will meet to discuss this alternative.



The selection among nominees is to be conducted by the Selection Coordinator by March 15. Departmental selection will be by secret ballot. A majority of the full-time faculty members eligible to cast ballots will be necessary to complete the selection; runoff ballots will be used if necessary. In case of tie votes which are not broken through additional balloting, the names of all tied candidates will be reported to the Dean for resolution.

The Selection Coordinator will report the name of the person selected to the department and send a written recommendation for Department Chairperson to the Dean on behalf of the Department. Because the candidates will have been approved earlier by the Dean, appointment of the person recommended will ordinarily follow. Should circumstances arise between the giving of initial approval and receipt of the recommendation that make the nominee unacceptable, however, the Dean will meet with the full-time members of the Department to discuss and resolve the situation.

#### **4.3.3 Review**

No later than February 1 of the second year of a department chair's tenure, the Arts and Sciences Dean shall notify the department that a review of the performance of the chair in terms of management of the department's concerns must be conducted. The department will follow democratic procedures to ensure the participation of all tenured, tenure-track and consecutive term members of the department, as well as full-time administrative staff. A copy of the results of the review will be provided to the chair as well as to the dean.

#### **4.3.3 Removal**

Initiation of an earlier review of the performance of the Departmental Chairperson may be brought forth by either a majority of the members of the Department or the Dean.

A Departmental Chairperson's appointment as Chair may be revoked before the three-year term has expired when there is a concurrence of the majority of the full-time members of the Department and the Dean that such action is justified. In such action, due process procedures shall be followed.

\*In all cases, the terminal year is the last year before full retirement. In the case of transitional leave, the terminal year is the sabbatical year.

## **4.4 Curriculum Changes**

**4.4.1** Additions to the curriculum of a Department may be approved only when the new offerings can be handled by existing or authorized staff.

**4.4.2** A course may be taught no more than twice as a special topics course before begin submitted for approval as a regular course to the curriculum committee.

**4.4.3** Curriculum changes in the College of Arts and Sciences shall normally be instituted through adherence to the following sequence:

All curriculum proposals originate at the department or program level and are forwarded through the Dean to the Curriculum Committee.

The originating department or program shall submit all proposals for new or revised courses electronically to the Curriculum Committee Chair and to the Arts and Sciences Office.

The following information, and any other information requested on the Curriculum Committee submission form, should be included in the proposal:

- a. Specification as to whether it is a new course or a revised course and when it is to be first offered.
- b. Proposed catalog description, including semester hours credit.
- c. Statement of prerequisites.
- d. The objectives of the course.
- e. The intended audience for the course (majors, elective students, etc.).
- f. Evidence that the course fulfills a service function, and/or is part of the undergraduate major, and/or is a part of the graduate program.
- g. Evidence that the department or program has the staff to offer the course, that the course is important to the department's program(s) or the interdisciplinary program's offerings, and that the course shall be offered at least on a two-year sequence.
- h. All new course proposals must be accompanied by a syllabus or a course outline.
- i. Justification of any feature peculiar to the course.

Prior to submitting a new course to the Curriculum Committee, the Department or Program is to clear the course number with the Office of the Registrar to make sure that the same number has not been used for another course in the past decade.

Materials for curricular change (detailed above) are to be submitted to the Arts and Sciences Curriculum Committee. If the change is approved by the Curriculum Committee, the recommendation is then submitted to the Arts and Sciences Council for its approval.

**4.4.4** Upon the Arts and Sciences Council approval of a new course for inclusion in the catalogue, the Chair of the Curriculum Committee notifies the sponsoring department of the approval of its course proposal. The chair of the sponsoring department then submits electronically a Degree Audit Form to the Office of Student Records.

**4.4.5** The chair of the Curriculum Committee is to ensure that information about any fully approved course revision or new courses is transmitted to Office of the Dean of Arts and Sciences. The Office of the Dean is to transmit all relevant course change or new course information to the Office of Student Records on forms specified. All such information is to be copied to the Chair of the submitting department.

Department chairs, in consultation with the Dean's office, are responsible for ensuring that course descriptions are updated in the Drake Catalog.

**4.4.6** If the submitting department or program has indicated that a course is to be reviewed for inclusion in the Drake Curriculum, the Arts and Sciences Curriculum Committee Chair working through the Arts and Sciences Office will ensure that the course materials are forwarded to the University Curriculum Committee.

## 4.5 Policy in Regard to Curricular Decisions Without Adequate Time Lag

When there is insufficient time to follow standard procedures for curricular changes, the Dean, upon the advice of the Faculty Cabinet, has the power to act on all such changes that are genuinely necessary. Cabinet recommendations are subject to the following guidelines:

**4.5.1** The Faculty Cabinet of the Arts and Sciences Council, to the best of its ability, recommends approval for only those curricular changes that are consistent with the current standards of the Curriculum Committee and the College of Arts and Sciences. To achieve this end, the recommending body (program, department, school, dean, committee, etc.) shall provide to the Faculty Cabinet the information normally required by the Curriculum Committee.

**4.5.2** The Dean shall report at the beginning of each semester curriculum recommendations made under these conditions.

**4.5.3** Before a course can be included in the catalogue, it must be approved through the normal channels even though it has been approved previously by the Dean upon recommendation of the Faculty Cabinet.

## 4.6 Procedures for Appeals of Academic Evaluations

This appeals process is established to deal with: a) appeals from actions taken as a result of an instructor's determination that a student's performance involved academic dishonesty including, but not limited to, plagiarism and cheating and b) student petitions challenging a grade or alleging arbitrary and capricious grading practices.

[**Note:** These are the procedures typically followed by the College of Arts and Sciences. However, these procedures are subject to change without prior notice and they do not constitute a contract between Drake University and its students.]

### 4.6.1 Academic Dishonesty

#### 4.6.11 Definitions

Academic dishonesty is an all-encompassing term involving any activity that seeks to gain credit for work one has not done or to deliberately damage or destroy the work of others. Academic dishonesty includes, but is not limited to, the following:

*Plagiarism* - The misrepresentation, either by intent or negligence, of another's ideas, phrases, discourse, or works as one's own.

*Cheating* - the act, or attempted act, of giving or obtaining aid and/or information by illicit means in meeting any academic requirements, including examinations.

*Fabrication* - intentional and unauthorized falsification or invention of any information or citation in an academic sense in any academic exercise.

*Facilitating Academic Dishonesty* - intentionally or knowingly helping or attempting to help another to commit an act of academic dishonesty.

Examples of academic dishonesty include, but are not limited to:

- a. Copying from the Internet or worldwide web and representing it as one's own thoughts or work;
- b. Copying from another student's paper, laboratory report, or other report, or computer files or listings and representing it as one's own thoughts or work;
- c. Using, during a test or laboratory experiment, material and/or devices not authorized by the instructor in charge of the test;
- d. Without the instructor's permission, collaborating with another, knowingly assisting another or knowingly receiving the assistance of another in writing an examination or in satisfying any other course requirements;
- e. Incorporating into written assignments materials written by others without giving them credit, or otherwise improperly using information written by others (including that which might be stored on computer disks or other technological devices); or submitting commercially prepared papers as one's own;

- f. Submission of multiple copies of the same or similar papers without prior approval of the several instructors involved;
- g. Claiming as one's own work that which was done by tutors or others with no mention of credit to or the assistance of those persons;
- h. Deliberately damaging or destroying another's laboratory experiments, computer work or studio work;
- i. Knowingly obtaining access to, using, buying, selling, stealing, transporting, or soliciting in its entirety or in part, the contents of a test or other assignment unauthorized for release;
- j. Substituting for another student, or permitting another student to substitute for oneself, to take a test or other assignment or to make a presentation;
- k. Intentional and unauthorized falsification or invention of any information or citation in an academic exercise;
- l. Forgery, alterations, or misuse of University documents;
- m. Falsifying information submitted or failure to reveal relevant information in any University application form or offering any false information in any University disciplinary proceeding.

Each instructor reserves the right to further clarify and define his/her expectations of academic integrity orally or in written form, such as through the course syllabus.

#### ***4.6.12 Conscientious Retraction of Submitted Work***

A student may retract work (including examinations) he or she has submitted that violates this Policy, if such a retraction is an act of conscience. Should such a conscientious retraction occur, it will be governed by the following:

- a. A student who has the courage and integrity to come forth with a good faith retraction before gaining any knowledge that someone else may suspect him or her of the violation has reaffirmed his or her personal commitment to the Academic Integrity Policy and will not be expelled from the University. However, the student will be subject to other disciplinary action at the discretion of the instructor or Dean, with the appeal rights provided for hereunder.
- b. A good faith admission by a student must be made voluntarily. Once a student is approached with a possible Academic Integrity Policy violation, it is too late for that student to make a retraction.
- c. A student that wishes to make a conscientious retraction should contact the Associate Dean. The student must submit a statement attesting to the violation of the Academic Integrity Policy and include an affirmation that he or she has not been accused of an Academic Integrity Policy violation. The statement must be signed and dated by the student, the instructor, and the Dean and then returned to the Dean where it will be kept confidential.

#### ***4.6.13 Procedures and Penalties***

The penalty for academic dishonesty will vary from incident to incident, depending upon the scope and magnitude of the offense and the circumstances in which it occurred; upon the prior record of the person being penalized; and upon evidence suggesting the existence or absence of a pattern of academic dishonesty in the academic performance of the person committing the offense.

Not later than fourteen (14) days after an alleged Academic Integrity Policy violation comes to his/her attention, the instructor shall (1) provide the student with written notice describing the alleged violation and (2) make a good faith effort (normally, both an e-mail and a phone call message during the academic year; and an e-mail and a regular U.S. letter during the summer or winter break) to meet with the student to discuss the alleged violation. After the meeting, or after it becomes clear that the student refuses to meet, the instructor shall exercise professional judgment in selecting his or her course of action. Among the possible courses of action are the following:

- a. Conclude that no violation occurred. The matter is then dropped and maintained as a confidential transaction between faculty member and student.
- b. Conclude a violation occurred, and subject to the student's right to have the matter brought before the Academic Integrity and Appeals Committee (see below), assign the appropriate penalty in the course, including, but not limited to, reprimand, grade reduction or dismissal from the course with a failing grade.
- c. If the instructor after imposing a failing grade for the course believes that the violation is so serious that suspension or expulsion from the College should be considered, the instructor must refer the matter to the Academic Integrity and Appeals Committee.
- d. Conclude that a violation occurred and arrange an informal voluntary consultation among the instructor, the student and the department chair and/or the Dean in an effort to agree on a penalty and resolve the matter. If the matter is resolved to everyone's satisfaction, it is at an end. If not, the instructor and the student retain the right to proceed under 4.6.14. All time deadlines are stayed while this course of action, or a similar course of action, is attempted.

If the instructor under b or c above determines that a violation has occurred and assigns a penalty, he/she will notify the Associate Dean of Arts and Sciences and the chair of the instructor's department. If the student is majoring in a program in a college outside of Arts and Sciences, the Associate Dean will notify the Dean of that college.

Note: Anytime a matter is timely brought before the Academic Integrity and Appeals Committee, either by the instructor or the student, the Committee has the right to decide anew whether an Academic Integrity violation occurred according to the definitions in 4.6.11 and/or the instructor's policies as stated in the syllabus and/or other written or oral communications provided to the class.

#### **4.6.14 Initiation**

Academic Integrity proceedings will commence upon notification in one of the following situations, both of which may be present in a single case:

- a. An instructor requests that the Committee review the alleged violation and consider the additional penalties of suspension or expulsion from the College, as discussed in (c) above; by notifying the Dean or the Associate Dean within ten (10) working days of notifying the student of his/her penalty for the course; or
- b. A student appeals an instructor's decision regarding a violation of the Academic Integrity Policy by notifying the Dean or the Associate Dean within ten (10) working days of notification of the penalty(s) imposed by the instructor.

For the purpose of this policy, the academic year is defined to begin at the start of the fall semester and conclude at the end of the Spring semester. Ordinarily, cases initiated as a result of coursework from the academic year will be heard by the standing Academic Integrity Committee. Cases pertaining to summer term courses will be reviewed by the duly appointed Academic Integrity Committee the following fall semester. Under extraordinary circumstances, a student or faculty member may petition the Dean to designate a special committee to hear an appeal over the summer term. The Dean in his or her sole discretion shall determine whether extraordinary circumstances exist to justify the appointment of such a special committee for purposes of hearing an appeal over the summer term. If so, such a special committee shall not be required to mirror the composition of the standing Academic Integrity Committee and will be comprised of members designated by the Dean. For the purpose of this policy, the summer term is defined to begin with the May-term and end at the conclusion of the summer classes in August. Commencement of proceedings follows the two situations outlined above.

Note: If the student does not wish to appeal the decision on academic integrity but only the final course grade resulting from the instructor's penalty, the student should initiate a Grade Appeal pursuant to 4.6.4 below.

#### ***4.6.15 Notification of Hearing***

The Chair of the Academic Integrity and Appeals Committee must notify the student and the instructor in writing at least ten (10) working days prior to the hearing date. The notification shall include the alleged Academic Integrity Policy violation giving rise to the hearing, hearing procedures, the date, time, and location of the hearing, copies of documents that the Committee intends to use at the hearing and the name of the Chair.

In responding to the hearing notification, the accused may do any of the following:

- a. Enter a plea of guilty and accept the penalty(s) imposed by the instructor and any additional penalties recommended by the instructor.
- b. Notify the Chair of the Committee, Dean, or the Associate Dean that he or she is voluntarily withdrawing from the University or College and subsequently withdraw, which, absent compelling facts and circumstances to the contrary, shall be considered an admission of guilt in the matter. If the instructor has made a timely request, the Committee shall then meet to consider whether to impose the additional penalties of suspension or expulsion from the College.
- c. Waive the notice period or request a postponement.
- d. Request a separate hearing from other students being charged for Academic Integrity Policy violations surrounding the same incident.

Requests will be granted or denied in the reasonable discretion of the Chair of the Academic Integrity Committee.

#### ***4.6.16 Attendance at the Hearing***

Attendance at the hearing is restricted to the members of the Academic Integrity and Appeals Committee, the instructor of the course involved, the accused student, and witnesses. At least five members of the Committee must be present. Witnesses, other than the accused, may be excluded from portions of the hearing at the discretion of the Chair. The accused may invite an advisor, who may attend the hearing, but the advisor may not represent the accused, offer

testimony, or question witnesses. Upon approval of the Chair, other invitees of the accused or the instructor who are not witnesses may be allowed to attend.

If a student or instructor has received timely notice but fails to appear at the hearing, and has not requested and received a postponement, the hearing may still go forward as provided below, at the discretion of the Chair.

If a witness has reasonable cause as to why he or she will be unable to attend the hearing, the Chair must make accommodations to hear the witness's testimony or obtain a signed written statement. No decision may be rendered by the Committee prior to making reasonable accommodations to hear all testimony or obtain a signed written statement from any requested witness.

#### **4.6.17 Record**

Prior to each hearing, one of the Committee members will be designated as recording secretary by the Chair. A handwritten summary of the proceedings shall be created during the hearing and housed in confidentiality with the Dean following the conclusion of the hearing. At the request of either party or the Committee, an audio recording of the proceedings shall additionally be made and held with the other records.

#### **4.6.18 Hearing Proceedings**

The Chair of the Academic Integrity Committee shall inform the accused as to the procedures to be followed throughout the course of the hearing. With the exception of the Committee members, the accused, the accuser (usually the instructor), and witnesses, those present will not participate in the proceedings. The Chair shall take reasonable measures to insure an orderly hearing, including the removal of individuals who impede or disrupt the proceedings.

The hearing shall progress in the following manner:

- a. The hearing shall begin with the presentation of an opening statement by the instructor summarizing concisely the basis of the actions taken and the conduct at issue. The student shall then present an opening statement, summarizing concisely the basis for the appeal.
- b. The instructor may then support his/her presentation by the testimony of witnesses and by other evidence. The student and the Committee may question the instructor and the witnesses.
- c. The student may support his/her presentation by the testimony of witnesses or other evidence. The instructor and the Committee may question the student and the witnesses.
- d. At the close of the evidence presented by the student, the instructor shall be given the opportunity to introduce rebuttal evidence that must be limited to any matters that have been raised in the evidence presented by or in behalf of the student.
- e. After all evidence has been presented; the instructor may make a final argument, after which the student may make a final argument.

At the conclusion of the hearing, the parties are excused and the Committee will deliberate in closed session on the alleged Academic Integrity Policy violation.

#### **4.6.19 Deliberation**

The Academic Integrity Committee considers any and all evidence offered at the hearing and deliberates until a verdict is reached. The Academic Integrity Committee presumes that all students are aware of this Academic Integrity Policy, including the specific conduct described in 4.6.11.

An Academic Integrity Policy violation can be found only if the preponderance of the evidence establishes that the alleged Academic Integrity Policy violation occurred.

Where the alleged violation is solely based upon conduct proscribed by the instructor's syllabus and/or other written or oral communications, (i.e., not based on the conduct described in 4.6.11 of the Academic Integrity Policy) the evidence must additionally establish by preponderance of the evidence that the instructor had clearly provided this information to the students in the class.

At the end of the deliberation, a secret ballot is taken and a majority vote is required to judge the accused to have violated the Academic Integrity Policy. The only record of the deliberation shall be the verdict and a brief statement of rationale for the verdict.

If the verdict is not guilty, the instructor is bound by that finding and may only evaluate the assignment as to its content or other time-honored bases of academic evaluation.

If the verdict is guilty, the Committee will then reinstate the course penalty applied by the instructor. If the instructor has timely recommended that the Committee consider suspension or expulsion from the College, the Committee shall make a determination, again by majority vote, on whether to impose one of those penalties. In making this decision, the Committee may consider:

- a. the scope and magnitude of the offense,
- b. the circumstances in which it occurred including the stated policies of the instructor,
- c. the prior record of the person being penalized (past violations may be used to determine penalties, but not guilt or innocence), and
- d. the evidence suggesting the existence or absence of a pattern of academic dishonesty.

If there is no timely appeal, the Committee decision is final.

#### **4.6.20 Hearing Report**

A concise report of the Committee's decision and its reasons therefore shall be submitted in writing to the accused student, the instructor and the Dean within three (3) working days of the Committee's decision.

#### **4.6.21 Appeal of Academic Integrity Committee Decision**

The student or the instructor may appeal the decision(s) of the Academic Integrity and Appeals Committee to the Dean. A written notice of appeal must be delivered to the office of the Dean within ten (10) working days from the receipt of the hearing report from the Committee. The following guidelines apply to appeals:



- a. The Dean shall decide all appeals. If the Dean is not available, or if the Dean was intimately involved in the case such that his/her involvement in the appeal would be inappropriate, then the Dean will appoint another administrator to decide the appeal.
- b. The grounds for appeal are as follows:
  - i. Procedural error that prevented a fair decision by the Committee;
  - ii. Misstatement or misapplication of the Academic Integrity Policy;
  - iii. Decision of the Committee not supported by the facts or evidence;
  - iv. Material evidence or facts, newly discovered, which could not with reasonable diligence have been discovered and introduced at the hearing; or
  - v. The fairness of the penalty imposed.
- c. Note: If the student does not wish to appeal the decision on academic integrity but only the final course grade resulting from the instructor's penalty, the student should initiate a Grade Appeal pursuant to 4.6.4 below.
- d. If none of the above-reference grounds for appeal is present, the Dean/Designee shall dismiss the appeal and the decision of the Committee is final.
- e. If the appeal is not dismissed, the Dean/Designee may affirm or reverse the previous decision with regard to the student's guilt or innocence and may modify the penalty previously imposed.
- f. Barring newly discovered material evidence or facts, an appeal is limited to a review of the record of the hearing, the written evidence introduced at the hearing and the Committee's hearing report.
- g. The Dean/Designee may not impose a more severe penalty than was previously imposed.
- h. The Dean/Designee's decision on appeal is final.

**4.6.22 Appeal Decision Report**

A concise report of the Dean's decision and his/her reasons therefore shall be submitted in writing to the accused student and the instructor within three (3) working days of the Dean's decision.

**4.6.23 Student Records**

Notations will be made in the student's permanent file of any convictions in accordance with this Policy.

**4.6.3 Procedures for Cases Involving a Student Who Is Not a Member of the College of Arts and Sciences**

If a recommended penalty goes beyond any course-specific action, and the student is not a member of the Arts and Sciences College, the Dean must report the offense and recommended penalty to the Dean of the student's college/school before the penalty is imposed.

- a. If the student's Dean is in agreement with the recommended penalty, the penalty shall be imposed, in which case it shall apply to the student as if it had been imposed by the student's college/school. This includes suspension and expulsion.
- b. If the student's Dean is not in agreement on the penalty, the case shall be referred to the Provost for a final decision on the appropriate penalty.

**4.6.4 Grading Appeals**

**4.6.4.1 Appeals Procedure for Final Grades and Grading Practices.**

A student who wishes to challenge the grading practices of an instructor of the College may appeal for a change of a final grade, using the following procedures.

**a. Timetable.**

The student must initiate the appeals procedure with the instructor within 10 (ten) business days following the final grade submission due date published by the Registrar. First, the student must meet with the instructor involved in an attempt to resolve the problem.

If the matter remains unresolved, the student must request a meeting at which the Department Chair (or the Program Director), the instructor, and the student are present. The student must make this request to the Department Chair (or Program Director) within five (5) business days after the meeting with the student and instructor (excluding summer terms). The student shall be given the opportunity to explain their position and present relevant documentation to the Department Chair (or Program Director).

The Department Chair (or Program Director) shall prepare a written summary of the issues, their findings of fact, and a proposed resolution to be presented to the student and the instructor within five (5) business days following the meeting.

If the proposed resolution of the Chair or Director is not satisfactory to the student, they may appeal in writing to the Dean, who will refer the appeal to the Academic Integrity and Appeals Committee. All appeals must be delivered to the Dean within ten (10) working days of presentation of the proposed resolution to the student and instructor. Absent a timely appeal by the student, the proposed resolution of the Chair or Director becomes final.

Upon receipt of the appeal the Committee shall invite the instructor to submit a written response to the appeal.

The Committee may meet, alone or with some or all of the parties involved, (1) to familiarize itself with the relevant facts and review the instructor's written grading policy as stated in the syllabus and other relevant documents and (2) to decide if a formal hearing is necessary. Note: A formal hearing is not necessary unless there is at least one material disputed fact issue, the outcome of which depends upon the credibility of a witness.

If the Committee determines a hearing is not necessary, the Committee shall determine, by a preponderance of the evidence, whether there had been either:

1. Procedural or clerical error by the instructor that had a negative impact on the student's grade
2. The grading being arbitrary, capricious or outside accepted norms with resultant negative impact on the student's grade. Possible examples: work is graded differently than stated in the rubric; final grades are calculated with a different method than stated on the syllabus, etc.
3. The evaluation was of a different standard than that required of other students in the class, resulting in a negative impact on the student's grade. Possible examples: some students were permitted to submit late work without penalty and others were not; extra credit opportunities were provided to some, but not all students, etc.

If either question is answered in the affirmative, the Committee shall recommend the appropriate change in grading practice and/or a particular grade. If not, the Committee shall recommend that the grading practice and/or grade remain unchanged. The Committee, having considered all appropriate information, shall submit to the Dean, in writing, its findings of fact and recommendations within five (5) working days of its decision.

If the Committee determines a hearing is necessary, the Committee will notify the student and the instructor in writing at least five (5) working days prior to the hearing date. The notification shall include a summary of the facts, copies of any documents which may be relied upon by the Committee, a description of the hearing procedures, and the date, time, and location of the hearing.

***b. Hearing Procedures.***

Hearing procedures shall be similar to those outlined in Sections 4.6.15-4.6.20 above. The Committee's charge is to determine, by a preponderance of the evidence, whether the grading practice and/or grade under review is either by a preponderance of the evidence, whether there had been either:

1. Procedural or clerical error by the instructor that had a negative impact on the student's grade.
2. The grading being arbitrary, capricious or outside accepted norms with resultant negative impact on the student's grade. Possible examples: work is graded differently than stated in the rubric; final grades are calculated with a different method than stated on the syllabus, etc.
3. The evaluation was of a different standard than that required of other students in the class, resulting in a negative impact on the student's grade. Possible examples: some students were permitted to submit late work without penalty and others were not; extra credit opportunities were provided to some, but not all students, etc.

If either question is answered in the affirmative, the Committee shall recommend the appropriate change in grading practices and/or a particular grade. If not, the Committee shall recommend that the grading practice and/or grade remain unchanged. The Committee, having considered all appropriate information shall submit to the Dean, in writing, its findings of fact and recommendations within five (5) business days of its decision.

***c. Final Decision.***

The Dean reviews the Academic Integrity and Appeals Committee's findings and recommendations and makes a final and unappealable decision with regard to all matters pertaining to the appeal. The Dean shall provide a concise written decision to the members of the Academic Integrity and Appeals Committee, the student, and the instructor within five (5) working days of the Dean's decision.

## **4.7 Policy and procedures in Regard to Faculty/Course Evaluation**

The College of Arts and Sciences is committed to maintaining excellence in the teaching, scholarship/creative activity, and collegial and professional service of all faculty members. The criteria outlined in 3.1.3 in this handbook are applicable in assessing the performance of all faculty members. The evaluation of teaching should draw upon the judgments of students, peers, and Department Chairs.

**4.7.1** The College of Arts and Sciences affirms the importance of student course evaluations to both the development of teaching excellence and of evaluation of faculty performance in relation to tenure, promotion and merit reviews. Thus, conscious development of student-centered teaching evaluation instruments and conscientious attention to their administration and outcomes are essential.

Given these principles, each Department or Program, in consultation with the Dean, shall develop its own forms and procedures for assessing performance in all areas. These procedures shall be written and shall on an annual basis be drawn to the attention of all department faculty.

#### **4.7.1.1 Forms**

All such forms must conform to the following principles: all forms (1) must include a brief description of the purpose of the evaluations and of their use; (2) must provide an opportunity for written response to questions soliciting comments about successful aspects of the course and about aspects of the course that need improvement; (3) also, must allow questions tailored to the individual course, and if desired, to the departmental/program purposes; and (4) must ensure anonymity of respondents. All forms should place questions requesting written responses at the beginning of the evaluation instrument.

#### **4.7.1.2 Procedures**

Departmental/program procedures for administration of student evaluations of faculty and courses must conform to the following principles: (1) all faculty must provide for student evaluation of each course taught, including summer and J-term; (2) sufficient time must be provided for thoughtful completion of the evaluation form (it is suggested that the form be administered at the beginning of a class period); (3) faculty must leave the room while students are completing in-class evaluation forms; and (4) forms must be submitted to the department chair or personnel specified by the program statement and not be available to the evaluated faculty member until after semester grades have been submitted and the chair or responsible person has reviewed the forms.

Department/program procedures for use of student evaluations of faculty and courses must conform to the following principles: (1) department/program chair or other designated individual(s) must review and summarize course evaluation responses; (2) summaries are to be submitted to the evaluated faculty member, submitted to the Dean with the annual Professional Activity Evaluation, and must be placed in the faculty member's permanent file; (3) when that faculty member is on tenure-track, the summary must be submitted to all faculty serving on the appropriate review committee during the annual review; and (4) the Chair or specified Personnel officer must discuss the evaluations and their implications for pedagogy (either change or maintenance of procedures) with the evaluated faculty member.

All departmental and program procedure statements should encourage: (1) appropriate explanations of evaluation procedures by the faculty member, (2) feedback to students about the impacts that evaluations have had on teaching; and (3) administration of "early-term" evaluation forms that will allow adjustment of course pedagogy and requirements during the evaluated term.

Student evaluations may reflect biases that exist in the broader culture. In reviewing student evaluations, review committees and departments should take care to maintain awareness of this possibility.

Some faculty may bear disproportionate responsibility for student advising because they are sought out by students for a variety of reasons, and departments should be mindful of these disparities.

## **4.8 Policy and Procedures in Regard to Peer Observation of Faculty**

### **4.8.1 General Guidelines**

- a. Every department must have a set of procedures for peer observation of faculty that follow the guidelines in Section 4.8.2.

- b. Peer observation procedures must be carried out on an annual basis and in a consistent fashion for all non-tenured faculty subject to reappointment and once every three years for tenured associate professors, in rotation with the faculty member's performance activity report/professional activities evaluation, and once in the year preceding application for promotion to full professor.
- c. Peer observation procedures must provide formative information to the faculty member being observed and provide a fair basis for summative evaluation. Peer observation letters should be written from a critical perspective and not merely list the candidate's strengths. The observation process should communicate to the faculty member the aspects of teaching that could be improved, especially important before the third-year review.

#### **4.8.2 Guidelines for Peer Observation Procedures for Tenure-Track Faculty**

Department Peer Observation Procedures for tenure-track and consecutive term faculty must meet the following guidelines and are subject to the dean's review.

- a. It will be the responsibility of the department chair to provide the guidelines to new faculty during the first semester of their employment, to annually review the guidelines with tenure-track faculty, and to see that the procedures in the guidelines are carried out in a timely fashion.
- b. During probationary years at least one course must be observed each semester.
- c. Peer observation of faculty over the course of their probationary years must not be left solely to one individual.
- d. The means and the timeline of the feedback provided to the faculty member being observed must be specified in departmental guidelines. At the conclusion of the observation process each observer must submit a formal, written report to the department.
  - 1) The report shall take into account the consultations between the observer and the faculty member being observed as discussed below in sections e, f and g.
  - 2) The language of the report should take into consideration the fact that it may be read by faculty from outside the department during the tenure process.
  - 3) The faculty member being observed has the right to attach his or her own response to each written report.
- e. Each peer observation must involve at least three contacts, the classroom observation itself, and two conferences between the observer and the faculty member being observed. One contact must occur before the observation and one after the observation but prior to the submission of the written report.
- f. The observer must consult the faculty member being observed on the appropriate number of class visits for the course being observed. The faculty member being observed must also be consulted concerning the scheduling of visits and the selection of the observer. These consultations should take into consideration the particular nature and structure of the specific course, the faculty member's style of teaching, and the potential disruption to student learning and class preparation that might result from outside observation.
- g. Before any observation occurs, the faculty member being observed must provide the observer with relevant course materials in order to give the observer a sense of the pedagogical goals and strategies for the course being observed. The observer must talk with the faculty member being observed about his or her expectations for each class session to be observed.

- h. Department procedures for peer observation of faculty involved in interdisciplinary programs must take into consideration the peer review requirements of that program.
- i. The department must consult the tenure-track faculty member concerning the desirability of being observed by someone from outside the department and when determining who might best serve as outside observers. If an outside observer is deemed appropriate, the department has the responsibility for facilitating that arrangement. An outside observer could come from present faculty, emeritus faculty or from another institution.
- j. Departments should consult tenure-track faculty about their interest in observing the teaching of other faculty and facilitate such opportunities.

## 4.9 Policies and Procedures for Recommending Leaves of Absence Without Pay

**4.9.1** University policy and practice permit the granting of leaves of absence without pay to faculty members in the College (see the University Faculty Manual 4.51 "General Leave Policy"). Because an unpaid leave of absence may affect a faculty member's progress toward promotion and/or tenure, the following guidelines shall be applied to requests for leaves of absence:

- a. Leaves of absence are recommended first by the Department to the Dean, who in turn presents a recommendation to the Provost. Only in unusual circumstances may a leave be granted without a department's recommendation.
- b. If it is probable that the circumstances of the proposed leave will diminish the faculty member's capacity to develop or produce the materials that would come under review when a candidacy is presented for tenure and/or promotion, the Department may recommend that the decision on tenure or promotion be delayed for one year. (In other words, the year on leave would not count as time toward tenure and/or promotion.) The recommended delay must be approved by the Dean and the Provost. The circumstances warranting a delay may include but are not limited to illness, personal circumstances, employment relocation of a spouse, and teaching or service appointments away from the Drake campus that remove the individual from research resources or otherwise reduce the opportunity for research and writing.
- c. If it is probable that the circumstances of the leave will enhance the faculty member's capacity to develop or produce the materials that would come under review when a candidacy is presented for tenure and/or promotion, the Department will not recommend changing the year in which the decision on tenure and/or promotion will be made and the University will not allow such a change.\* Such circumstances not justifying a delay include, but are not limited to, accepting fellowships or grants that free the individual to pursue research or writing or taking an unsupported leave for the purpose of research and writing.

\* "For a nontenured faculty member on scholarly leave for one year or less, the period of leave should count as part of the probationary period as if it were prior service at another institution. Exceptions to this policy should be mutually agreed to in writing prior to the leave." (AAUP "Statement of Principles on Leaves of Absence")

**4.9.2** A request for a leave of absence without pay must be initiated at the department level. The faculty member must certify to the Department Chair the reason(s) for the leave. If the circumstances are personal, the faculty member will confer, in confidence, with the Chair, explaining the need for the leave.

Taking care to protect the individual's privacy, the Chair will then vouch to the Department's Promotion and Tenure Committee whether the request falls under 4.8.1.a or 4.8.1.b and whether the request warrants a postponement of the tenure decision.

**4.9.3** A faculty member who desires a leave should notify her/his Department as far in advance of the proposed leave as possible. Early notification will allow the Department to arrange for a suitable replacement for that faculty member during her/his absence.

## 4.10 Program Changes

**4.10.1** Any addition or deletion of programs, including majors, minors, and concentrations housed within the College of Arts and Sciences must be reviewed by the Arts and Sciences Faculty Cabinet and approved by the Arts and Sciences Council.

**4.10.2** Proposals to add or delete majors, minors or concentrations must be submitted to the Dean of the College to be forwarded to the Faculty Cabinet. The Faculty Cabinet will consider issues such as adequacy of staffing, additional staffing needs, adequacy of existing curricular offerings, needed curricular support and any other relevant curricular or administrative issues and will formulate a recommendation about the proposed program change to be submitted to the Arts and Sciences Council.

**4.10.3** If the recommendation of the Faculty Cabinet is approved by the Arts and Sciences Council, all pertinent information relating to the program change will be submitted to the Provost and to the Registrar by the Office of the Dean. The Office of the Dean also will be responsible for ensuring that all Arts and Sciences Program changes are reflected in the next and ensuing catalogs published by the University.

### 4.11 GPA Requirement for a Minor

To be certified as having completed a minor in the College of Arts and Sciences, a student must have at least a 2.0 grade point average in all courses attempted in the minor field.

## 4.12 Policy and Procedures for the Evaluation of the Dean

Performance evaluation occurs on a regular basis in most organizations. Within academia, evaluation of faculty performance normally is mandated. Such evaluation is elicited from students, department chairs and Deans in the course of yearly performance reviews and is used for purposes of tenure, promotion and salary decisions. Increasingly, evaluation is seen as a tool that allows identification of strengths and weaknesses and thus provides information necessary for growth and development. It seems appropriate that the Dean of the College be evaluated in a manner consistent with procedures used for faculty.

**4.12.1.** The performance of the Dean of the College of Arts and Sciences will be evaluated on a regular basis. The initial evaluation should occur in the third year in which an individual occupies the position of Dean and should occur every three years thereafter or earlier, as deemed necessary by the Arts and Sciences Cabinet. Evaluation will be initiated by the Arts and Sciences Cabinet and carried out by the Research and Assessment officer of the College or by another person as designated by the Cabinet. The evaluation will focus on the strengths and weaknesses of the Dean in reference to fulfillment of responsibilities as specified in the Arts and Sciences Handbook. It will provide opportunity for input of all constituencies including faculty, staff and students. The evaluation will include open-response questions as specified for faculty evaluation in the Arts and Sciences Faculty Policies Handbook. The summary of

evaluations will be approved by the Arts and Sciences Faculty Cabinet and provided to the Dean and the Provost. Anonymity of respondents will be maintained in the summary report.

#### **4.12.2 Procedures**

##### **4.12.21 Initiation of Review**

In the third year of service of a Dean, and every third year thereafter, it shall be the responsibility of the Chair of the Arts and Sciences Faculty Cabinet to initiate the procedures for evaluation of the Dean.

- a. Early in the fall of the year in which the evaluation of the Dean is to occur, the Faculty Cabinet shall designate an Evaluation Coordinator to carry out the evaluation of the Dean. Normally the Research and Assessment Officer of the College will serve as Evaluation Coordinator. If no one is filling that position, or if the Cabinet decides, for whatever reason, that another person should carry out the evaluation, the Cabinet shall designate the Evaluation Coordinator. The Dean may veto the Cabinet designee of an Evaluation Coordinator. If the Cabinet and Dean are unable to agree upon an individual to serve as Evaluation Coordinator, the issue will be taken to the Arts and Sciences Council which will then select a Coordinator.
- b. The Faculty Cabinet, in consultation with the Evaluation Coordinator will review the "Policy and Procedures for Evaluation of the Dean of the College of Arts and Sciences" and determine whether any modification of procedures is needed. If modifications are deemed necessary, the Faculty Cabinet will present a proposal for such modifications to the Arts and Sciences Council for approval.

##### **4.12.22 Responsibility for Implementation**

Once appointed, the Evaluation Coordinator shall assume responsibility for completion of the evaluation of the Dean.

- a. The Evaluation Coordinator shall develop a questionnaire for administration to the Faculty of the College of Arts and Sciences, and a plan for implementation of procedures outlined in the following sections. The questionnaire and implementation plan shall be submitted to the Dean for comment and suggestions and to the Faculty Cabinet for review and approval.
- b. Upon approval of the questionnaire and implementation plan by the Faculty Cabinet, the Evaluation Coordinator shall oversee implementation of evaluation procedures, write a summary of results and present these results to the Faculty Cabinet, Dean and the Provost as specified in following sections.

##### **4.12.23 Evaluation by Faculty**

- a. All faculty, including tenured, tenure-track, consecutive term, and visiting, full-time and part-time, shall receive a questionnaire which provides the opportunity to participate in the evaluation of the Dean.



- b. The questionnaire will contain the following components:
  - 1. Information about the respondent's status will be requested in order to allow the Evaluation Coordinator to summarize responses according to areas in which the respondent is most likely to have had contact with the Dean. Such questions shall never be so specific as to allow identification of the respondent. Identification that should regularly be requested of respondents includes:
    - a) Continuing or visiting faculty appointment
    - b) Tenured or tenure-track or consecutive term status
    - c) Full-time or part-time appointment
    - d) Department Chair
  - 2. The questionnaire must conform to the principles set forth for Faculty Evaluation in the Arts and Sciences Faculty Policies Handbook (Section 4.7.1). Thus all forms (a) must include a brief description of the purpose of the evaluations and of their use; (b) must provide an opportunity for written response to questions soliciting comments about successful aspects of performance and aspects of performance that need improvement; and (c) must ensure anonymity of respondents.
  - 3. The Evaluation Coordinator shall request that the Faculty Cabinet and the Dean submit additional questions to be included on the questionnaire. The final questionnaire and all questions to be included on it shall be approved by the Faculty Cabinet.

#### **4.12.24 Evaluation by Staff**

- a. All staff of the college of Arts and Sciences will be provided an opportunity to evaluate the Dean's performance.
  - b. Evaluation may occur by offering staff an opportunity to respond to a questionnaire or by offering an opportunity for verbal responses.
- 1. If a questionnaire is used, it must include one question that ascertains what the Dean is doing well and one that asks in what areas the Dean could improve. Additional questions may be included as determined appropriate by the Evaluation Coordinator in consultation with the Faculty Cabinet.
  - 2. If a verbal response method is used, staff members should be provided an option of participating either through individual interviews or focus group sessions.
  - 3. Ideally, each staff member will be offered the opportunity to choose whether to respond by questionnaire or verbal response.

#### **4.12.25 Evaluation by Students**

- a. The Evaluation Coordinator will call a special session of the Dean's Student Advisory Group in which the students will be invited to provide responses to questions similar to those posed to faculty and staff. The Dean will not be present at this session. A summary of student responses will be developed in consultation between a student designated by the Advisory Group and the Evaluation Coordinator.

- b. Generally, student input will occur in a focus-group format. Upon request, the Evaluation Coordinator may talk individually with members of the Student Advisory group.

#### **4.12.26 Preparation and Approval of Evaluation Report**

- a. The Evaluation Coordinator shall prepare an Evaluation Report that summarizes the evaluative information collected from faculty, staff and students.
- b. The report must be written in a manner that maintains the anonymity of all respondents.
- c. While the specific factors to be included in the summary should be at the discretion of the Evaluation Coordinator, generally only characteristics that are mentioned by several respondents should be included in the summary. The report shall summarize both "strengths," things the Dean is perceived as doing well, and "weakness," areas in which the Dean is perceived as needing to improve. Every effort should be made by the Evaluation Coordinator to prepare a report that, while it may be critical, will be supportive and developmentally useful to the Dean.
- d. Upon completion of the report, the Evaluation Coordinator shall submit the report to the Faculty Cabinet for review and approval. The Cabinet members shall review the report only to ensure that it maintains the anonymity of respondents and reports both strengths and weaknesses of the Dean. The Cabinet members may not request, and shall not be provided, access to individual evaluations.

#### **4.12.27 Dissemination of Evaluation Report**

- a. Once the Evaluation Report is completed and approved by the Faculty Cabinet, it shall be submitted to the Dean and to the Provost.
- b. The Chair of the Faculty Cabinet shall report to the Arts and Sciences Council that the procedure has been completed, a report prepared and approved by the Faculty Cabinet and submitted to the Dean and the Provost.
- c. The Dean will be encouraged to use the Evaluation Report as a means of developing better skills as a Dean and becoming more responsive to the faculty, staff, and students of the College of Arts and Sciences. The Dean is encouraged to discuss the evaluations with the Evaluation Coordinator and with the Faculty Cabinet in order to gain a better understanding of how concerns might be addressed. Further, the Dean is encouraged to be as open as possible with the faculty and staff as a whole concerning efforts to address concerns.

## APPENDIX A

### GUIDELINES FOR PREPARING CREDENTIALS FOR TENURE AND/OR PROMOTION REVIEW COLLEGE OF ARTS AND SCIENCES - DRAKE UNIVERSITY

The purpose of these “Guidelines for Preparing Credentials for Tenure and/or Promotion Review” is to create a format for the presentation of promotion and tenure cases: by the candidate to the Department, the Department Review Committee to the College Promotion and Tenure Committee, the College Promotion and Tenure Committee to the Dean, and the Dean to the Provost. The instructions refer to criteria of departments and the college for excellence in teaching, scholarship, and service.

#### *I. Basic Organization of Document and Preparations*

This document is designed to assist candidates in preparing the materials specified in 3.3.43 in a format that enables the Department and College Promotion and Tenure Committees, the Dean, and the Provost to review their record fully and fairly. The candidate is asked to prepare a dossier consistent with these guidelines.

**A. Cover Sheet.** A cover sheet should be included, containing the following information:

#### PROMOTION AND TENURE PORTFOLIO NARRATIVE SECTION

STATEMENT ON BEHALF OF:

\_\_\_\_\_  
NAME

\_\_\_\_\_  
DEPARTMENT

\_\_\_\_\_  
CHAIR

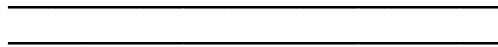
\_\_\_\_\_  
DATE PRESENTED TO DEPARTMENT

Department Review Committee

\_\_\_\_\_  
DATE FORWARDED TO THE DEAN

\_\_\_\_\_  
DATE FORWARDED TO THE PROVOST

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## **B. The Candidate's Submissions**

1. Narrative. To be completed by the faculty member – a self-reflective, concise yet thorough statement discussing her/his record and indicating plans for future development. The full narrative should not exceed 25 pages (single-spaced, 12 point font size, standard margins).

The candidate, working with the department chairperson or the chairperson's designate, is responsible for the preparation of the narrative. A tenured faculty member may assist the candidate in preparing an accurate and complete curriculum vitae and describing the candidate's accomplishments.

The areas of discussion for the narrative are:

- a. Description of teaching activities in relation to the criteria specified in Handbook Section 3.4.1 and Department statements.

- i. Teaching Goals and Philosophy:

To the extent not covered in the course syllabi, the candidate must describe his/her pedagogical practices as they are evidenced in his/her course assignments, exams, and classroom activities. Candidates will describe their teaching philosophy and goals, the evolution of their pedagogical practices, and will discuss how student learning is achieved. Within this context, a careful and rigorous examination of course assignments, exams, and classroom activities must be provided and must reference the materials presented in the appendix. Candidates should also discuss, as appropriate, student evaluations and peer observations and the ways in which they have revised or rethought their courses accordingly. Reciprocal connections the candidate may see between his/her teaching and scholarship are appropriate to discuss in this section of the narrative.

- ii. Courses Taught:

Candidates will compile, in easily readable format, the titles, dates, and number of credit hours for the courses taught during the years leading to the tenure and/or promotion review. (For promotion to full professor, materials from the previous 5 years will be sufficient). Materials submitted must include syllabi, representative handouts, assignments, and exams and should be keyed by letter and number to the letters and numbers specified in the narrative. Every iteration of every course need not be discussed unless such an iteration led to a significant revision of the course.

- iii. Areas of Teaching Interest and Competence:

Candidates must identify areas of teaching interest and competence, and describe how one's courses reflect these interests and how (or whether) these interests have been shaped by teaching experience and/or curricular or programmatic needs.

- iv. **Mentoring:**  
Candidates must describe the ways in which they act as mentor, how that mentoring relates to teaching and/or scholarship or service, and how many students he/she has mentored. Candidates should provide any materials that give evidence of the quality of mentoring activities.
- v. **Peer and Student Evaluations**  
The candidate may choose to comment on peer observations in the narrative, if needed for clarification or explanation of what effects they have had on the candidate's teaching development. For student evaluations, the candidate should describe how evaluation forms were designed and by whom; and if desirable, a response to these evaluations, and indication of how they have contributed to the process by which the faculty member has continually improved her/his teaching.

b. Description of scholarly/creative activities in relation to the criteria specified in Handbook Section 3.4.2 and Department statements.

In this portion of the narrative, candidates should highlight the key parts of their scholarly and creative record, indicating areas of growth and challenge, and describing the nature of their contributions to their field of inquiry. Such narratives may elaborate how the work fits with the institutional mission, as well as the stated goals of their departmental home, and the particular appointment of each candidate. The narrative may also emphasize the extent to which a candidate's scholarship informs and is informed by teaching and service.

- i. **PUBLISHED SCHOLARLY WORK, PERFORMANCES, AND EXHIBITIONS:**  
If a candidate's work is exemplified by publications, they must be listed by the categories specified in Handbook Section 3.4.2, using the standard entry form of the candidate's discipline. Include items "in press," giving full publication information. If a candidate's work typically includes plays, concerts, music compositions, or art exhibitions, candidates must provide evidence of artistic achievement, such as reviews, selection in artistic competitions, purchase of work by museums, galleries, etc. In the case of collaborative work, candidates must describe their individual contribution.
- ii. **SCHOLARLY OR CREATIVE WORKS IN PROGRESS AND/OR SOON TO BE PUBLISHED / EXHIBITED / PERFORMED:**  
Scholarly or creative works in progress/or soon to be published/exhibited/performed should be described and presented in the same format as above, with additional information about projected dates of submission, publication or performance.
- iii. **ORAL PRESENTATIONS BEFORE PEER PROFESSIONAL GROUPS:**  
Candidates must list titles and dates of the presentations and the identity of the groups hearing them. Include copies of presentations as part of the appendix.
- iv. **GRANTS, CONTRACTS, OR FELLOWSHIPS:**

- a. For grants awarded, candidates must list the purpose for each, relationship to the candidate's work, as well as the critiques of reviewers of review panels.
  - b. For grants applied for, candidates may list the purpose for each, relationship to the candidate's work, as well as the critiques of reviewers of review panels.
  - c. For prizes or other honors, the candidate must list the prize, title, or honor and the identity of the granting institution or organization.
- c. Description of service activities in relation to the criteria specified in Handbook Section 3.4.3 and Department statements.

Candidates are encouraged to offer an account of their service in their tenure narrative which speaks to any connections the candidate may see among their service activities and their scholarship and teaching, or to how they see their service as contributing to their professional development. All service activities should be listed by type, level, (e.g., college, department, professional), and dates. Candidates need not discuss every activity at length, but rather should comment on aspects of their service that they have found particularly rewarding and/or challenging. The list and narrative could include the following:

- i. Department committees, years served, and role (e.g., chair) on the committee; if necessary, describe the purpose and accomplishments of the committee.
  - ii. University, division, school, or college committees, years served, and role (e.g., chair) on the committee; if necessary, describe the purpose and accomplishments of the committee.
  - iii. Advising activities and approach. Issues that might be addressed in describing advising include discussion of approximate number of advisees and contacts with each advisee per year and the general philosophy that guides advising activities. Submit any materials in the appendix which provide evidence about the overall quality of advising activities. If advising is not part of a candidate's responsibilities, so state.
  - iv. Other departmental, college, or university responsibilities that constitute service.
  - v. Contributions to scholarly or professional organizations. These contributions may include holding office, serving on a committee, reviewing manuscripts, and so on.
  - vi. Community service directly related to one's area of professional or academic area of expertise.
2. Documentation appendix. With the narrative/statement, the candidate must submit the attachments providing evidence as called for in Handbook Section 3.3.43.

**C. Department Review Committee Evaluation and Recommendation.**

1. Evaluation. The judgments by one's professional colleagues are crucial to the review process. The purpose of the Departmental Review Committee's evaluation and recommendation is to document the collective judgment of peers most familiar with the candidate's teaching, scholarship, and service. Toward this end it is important that the evaluative statements be supported by appended documentation solicited from the candidate and data gathered independently by the department.

In those cases where the candidate's work involves interdisciplinary programs, evaluations from the program director or faculty are to be obtained.

The Department Review Committee should consider and address the following in its evaluation:

- a. Evaluation of teaching in relation to the criteria specified in Handbook Section 3.4.1 and Department statements.
  1. How have the candidate's teaching interests and competence fit into the programs of the department/ division, college/school, and university?
  2. Which criteria among those listed in 3.4.1 and in the department's statement were given the greatest emphasis in the evaluation of teaching?
  3. What processes were used and what data were gathered to assess teaching effectiveness?
  4. How was peer evaluation of teaching carried out? Who did the observations and what was the nature of the visits (e.g., the number of visits, the courses observed)?
  5. Cite special activities if any, undertaken by the candidate to provide effective mentoring and to contribute to the department/division through mentoring. The department should provide and comment on any evidence of the quality of the mentoring activities of the candidate.
  6. What is the committee's evaluation of effectiveness of the candidate's teaching? Cite the candidate's strengths and weaknesses.
- b. Evaluation of scholarship/creative activities in relation to the criteria specified in Handbook Section 3.4.2 and Department statements.
  1. Consider and describe which of the works represent important contributions.
  2. Where available, summarize or quote from reviewers' opinions.
  3. Comment on the quality of creative work, such as concerts, compositions, exhibitions, or personal performances.
  4. Evaluate and comment on the Outside Letters of Evaluation, obtained consistent with Handbook Section 3.3.41.
- c. Evaluation of service in relation to the criteria specified in Handbook Section 3.4.3 and Department statements. Evaluation of the candidate's service can contain reference to:
  1. A candidate's contributions to the department/division through committee work, advising, and other capacities;
  2. A candidate's contributions to the university and school or college;

3. A candidate's contributions to scholarly and professional organizations.
  4. Evaluation of the candidate's advising, including:
    1. A candidate's efforts to become knowledgeable about curricular and other advising issues and procedures;
    2. A candidate's willingness to participate fully in providing for advising needs in the program;
    3. Any special activities undertaken by the candidate to provide effective advising; candidate's contributions to the department/division through advising.
- d. Recommendation. Following the evaluation, the Departmental Review Committee shall prepare a recommendation form for submission to the Dean.
2. Appendix. The Department Review Committee shall compile all documentation it obtained and/or considered as a part of its review for submission to the College Promotion and Tenure Committee. If the recommendation is negative, the Department Review Committee's appendix must also include a detailed account of its proceedings, including a tally of the vote, and a statement of its reasons for the negative decision, consistent with Handbook Section 3.3.41.
- D. Forms**. The Department Review Committee(s), College Promotion and Tenure Committee, and Dean may, but are not required, to use the forms set forth below.



**FORM 1: DEPARTMENT REVIEW COMMITTEE RECOMMENDATION**

Provide your narrative assessment of the candidate’s performance and recommendation.

Voting members of the department promotion and tenure committee should sign below, indicating that they have read the complete contents of the “Statement” and have voted or abstained in the recommendation. List any non-voting members of the committee.

The Department Review Committee recommends that:

\_\_\_\_\_

(first) (middle) (last name)

- be granted tenure
- be promoted to the rank of \_\_\_\_\_
- be retained in present rank
- be given a terminal appointment.

Signed: \_\_\_\_\_  
Committee Chairperson

Committee Members

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Date: \_\_\_\_\_

**Form 2 - RECOMMENDATION OF THE COLLEGE PROMOTION AND TENURE COMMITTEE**

Provide a statement of reasons for the Committee's recommendation, complete the following statement, and sign below.

The College of Arts and Sciences Promotion and Tenure Committee recommends that

\_\_\_\_\_

(first) (middle) (last name)

be granted tenure

be promoted to the rank of \_\_\_\_\_

be retained in present rank

be given a terminal appointment.

Signed: \_\_\_\_\_

Committee Chairperson

Committee members

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Date: \_\_\_\_\_

**FORM 3 - RECOMMENDATION AND SIGNATURE OF THE COLLEGE DEAN**

Provide your narrative assessment of the candidate's performance and your recommendation.

I recommend that

\_\_\_\_\_

(first) (middle) (last name)

be granted tenure

be promoted to the rank of \_\_\_\_\_

be retained in present rank

be given a terminal appointment.

Signed: \_\_\_\_\_

Dean

Date: \_\_\_\_\_