

Change #6, Section XII, p. 113 of the 2010-2011 Handbook

Rationale: Aligns the steps with the new eval calendar

g. Step-by-Step Procedure for a Peer Review

All questions of interpretation or consistency that may arise concerning these procedures are decided by the Provost. The Vice Provost has responsibility for shepherding the peer review process as described in this section. Faculty members with concerns about the process should contact the Vice Provost immediately upon their recognition.

The Provost publishes the EVAL-1 PEER REVIEW AND ANNUAL EVALUATION CALENDAR for the next academic year by the end of January, with deadlines for each step.

Step 1

The Vice-Provost generates and provides to the deans the initial EVAL-2 FACULTY PEER REVIEW LIST. Each dean, using the EVAL-2 FACULTY PEER REVIEW LIST: (1) notifies the appropriate department chair of required peer review of probationary faculty ~~and any other required peer review~~; (2) notifies the chair of faculty meeting requirements for consideration for promotion.

~~Each department chair submits for the review of the appropriate dean a completed EVAL-4 DEPARTMENTAL STANDARDS AND PROCEDURES FOR FACULTY EVALUATIONS. Departments shall base their EVAL 4 criteria in teaching, service, and professional development on the broad values articulated in the University EVAL 4 and on expectations appropriate to the discipline.~~

Step 2

~~The dean reviews each department's EVAL 4 statement for consistency with university wide standards and procedures, notifies the department of any required changes, and forwards a statement for each department to the Provost.~~

Step 3

~~The Provost reviews each EVAL 4 statement submitted by the deans for consistency with university wide standards and procedures, notifies the dean and the department of any required changes, and makes final documents available on the Office of the Provost webpage.~~

Step 4

Step 2

The department chair notifies those faculty scheduled for review as indicated by the EVAL-2, confirms whether those eligible for promotion desire to undergo review for that purpose, asks if there are other faculty eligible for promotion who wish to be considered. The department chair submits to the dean a list of faculty requesting consideration for promotion along with any other changes to the EVAL-2. ~~and advises tenured faculty that any who wish may undergo a peer review in the spring cycle.~~

Step 6

Step 3

The dean notifies the Vice Provost of any changes to the EVAL-2. The Vice Provost prepares and distributes the final EVAL-2 list of candidates for peer review to the FRC and the deans; deans distribute the final EVAL-2 to chairs by department. The Vice Provost notifies all faculty scheduled for peer review.

Step 8 4

The department chair (or, in the event that the evaluatee is a department chair, the dean) in consultation with the Vice Provost organizes the Department Review Committee (DRC). The DRC should be composed of at least four and no more than seven members. The department chair submits the appropriately completed EVAL-5 CONSTITUTION OF DEPARTMENT REVIEW COMMITTEE FOR INSTRUCTIONAL FACULTY EVALUATION to the Vice Provost for review, who may consult with the dean. General guidelines regarding DRC formation:

- a) The department chair is a member of the DRC, (except the chair's own,) and acts as chair of the DRC or appoints a chair. The chair of the peer group for the department chair is appointed by the Vice Provost.
- b) For tenure and promotion decisions and any decisions involving tenured members of the faculty, all DRC members are tenured; for promotion decisions, DRC members are also of the same or higher rank as that sought by the evaluatee. For reappointment decisions, ideally all DRC members are members of the tenured faculty. For unscheduled reviews of tenured faculty, all members are tenured and ideally of the same or higher rank as the evaluatee.
- c) When the number of tenured faculty in a department is four or fewer, it is expected that all such members will serve on the DRC. When the number is greater than four, the Chair will work with the Vice Provost to determine the DRC membership. When the number is fewer than three, additional peer group members will be selected according to the procedure outlined in paragraph d), below.
- d) The DRC will include one member from outside the department, selected as follows: The evaluatee generates a list of at least four tenured faculty members who are in the evaluatee's division but not in the evaluatee's department. The evaluatee may not approach colleagues to serve on his/her DRC. The department chair consults with the Vice Provost to prioritize this list of nominees; consensus is to be sought but the Vice Provost's decision carries forward. The Vice Provost contacts the nominees in the order of approved preference. While non-departmental DRC members ideally are chosen from within the department's academic division, the Vice Provost can approve a faculty member outside the division when circumstances warrant and with the permission of the evaluatee. In the event that no members of the evaluatee's generated list are able or willing to serve, the evaluatee will be asked to generate more nominees until a DRC member is appointed (thus identification of outside members must always begin with the evaluatee's nomination).
- e) Departments may approach the review process in a number of ways. For example, they can create a review committee that is expected to follow the candidate through the tenure/promotion reviews, or they can create a standing DRC for all reviews that year in the department.
- f) No member of the FRC who serves on a DRC shall also participate in the FRC review of the recommendation of that DRC (see index: Faculty Review Committee).
- g) Each member of the DRC must be a full-time member of the Instructional faculty serving in an instructional capacity at the time of the formation of, and throughout the life of, the DRC.
- h) When the requirements of this paragraph conflict with the requirement that the department chair serve as a member of the DRC, the requirement for the chair membership takes precedence.

Step 9 5

The Provost reviews the EVAL-5 for consistency with university-wide requirements, effects any necessary changes (including appointing the non-departmental member as described in d) above), certifies the membership, and forwards copies of the completed EVAL-5 to the evaluatee, the dean, the FRC chair, and all DRC members. The final membership of each DRC must be certified by the Provost before any subsequent steps occur.

~~Step 40~~ **6**

The DRC holds its first (organizational) meeting and establishes timetables and procedures for the conduct of its business.

~~Step 44~~ **7**

The evaluatee submits his or her required EVAL-6 PROFESSIONAL ACTIVITIES REPORT and updated dossier to the DRC chair.

- a) Consistent with University and departmental standards and procedures, the DRC solicits and accepts for consideration written, signed, dated information from the academic dean and other sources, including DRC members' firsthand knowledge about the evaluatee and any information from other members of the department not ~~serving~~ **serving** on the DRC. Such information may be added to the dossier as long as the faculty member has, at the same time, the opportunity to include a written response to the new information prior to the next step in the review process period. Examples of information to be considered are classroom visitation reports, discussions with students and colleagues, and information from chairs of committees on which the evaluatee has served. In the special case of information from a source requesting anonymity, the evaluatee may request verification of the source, without revealing the identity, by a third party mutually acceptable to the evaluatee and the DRC. If agreement cannot be reached, the third party is selected by the FRC. The DRC may recommend to the evaluatee the inclusion of additional information or clarification concerning any submissions.
- b) In its deliberations the DRC may call upon other members of the academic community to contribute written statements concerning the evaluatee and/or to participate in part or all of the deliberations. However, the decisions are those of the DRC.
- c) The DRC meets to combine the individual findings of each member. On a form furnished by the Provost, the DRC reports its recommendation, along with an accompanying statement justifying that decision.
- d) Each member signs the EVAL-7 to certify that the decision of the committee as a whole has been accurately conveyed. Members dissenting from the EVAL-7 recommendation of the committee or the summary statement may attach signed minority reports to this document.

~~Step 42~~ **8**

The DRC submits its signed EVAL-7 PEER GROUP RECOMMENDATION AND SUMMARY STATEMENT to the evaluatee for review and acknowledgment.

- a) The signed recommendations are presented to the evaluatee for signature. This signature confirms that the evaluatee has read them.
- b) If in disagreement with the recommendation or with any minority statement, the evaluatee may forward a signed statement concerning the areas of disagreement.

~~Step 43~~ **9**

The DRC submits its completed EVAL-7, signed by all committee members to indicate the accuracy of the recommendation and bearing the evaluatee's acknowledgment; the EVAL-6; and the dossier to the Office of the Provost. The dossier is stored securely but made accessible to all subsequent reviewers in the process.

The Vice Provost acts as custodian of the dossier during the period it resides within the Provost's Office. Thus any materials added to the dossier after it is received in the Provost's Office must have the authorization of the Vice Provost, who will consult with the DRC chair. The Vice Provost will ensure that the faculty member has the opportunity to respond to such additions, that any such written response is included with the new information, and that the written response is available to subsequent reviewers in the process.

Step ~~14~~ 10

The Office of the Provost provides the EVAL-8/FRC and the EVAL-8/Dean in the front of each dossier for independent reviews of the materials in Step 13 by the FRC and the Dean. The Office of the Provost will schedule separate and independent access to the secure room for the FRC and deans. Completed EVAL-8 forms will include 1) a recommendation and 2) brief comments as appropriate and will be placed in a confidential location, designated by and accessible only to the Office of the Provost. In case of questions during the review, the FRC chair and the dean may consult with the DRC chair, department chair and authors of any minority report. No other DRC or FRC committee members are authorized to consult or to be consulted.

Step ~~15~~ 11

The Office of the Provost will copy the EVAL-8/FRC and the EVAL-8/Dean and send to the candidate in a confidential envelope without attending letter or comment. Candidates may not personally retrieve their forms. Candidates may submit written responses to the Provost, copying the FRC chair and/or dean, within the timeframe specified on the EVAL-1.

Step ~~16~~ 12

The Provost reviews the dossier and associated documents, including comments submitted regarding FRC and dean recommendations. The Provost forms a final recommendation, completes the appropriate section of the EVAL-8/Provost. In case of questions, the Provost may consult with the Vice and Associate Provosts, the deans, the FRC and the DRC chair, the department chair, and authors of any minority report. Should there be any failure to act in Steps 1-15 in any required peer review, the dean, upon the request of the faculty member(s) to be reviewed, proceeds to develop a file and a recommendation for timely presentation to the Provost.

Step ~~17~~ 13

The Provost makes available to the President the completed EVAL-8 forms.

Step 14

The President makes the University decision by completing the EVAL-8/President.

Step ~~18~~ 15

The Office of the Provost will mail to the candidate, in a confidential envelope, a copy of the completed EVAL-8/Provost and EVAL-8 President, without any attending letter or comment. The Provost may also present these copies directly to the evaluatee during a scheduled meeting. The completed EVAL-6, EVAL-7 and EVAL-8 are placed in the evaluatee's official file. Copies of the EVAL-8 are sent to the department chair, the DRC chair, the dean and the FRC. The EVAL-6s, EVAL-7s, EVAL-8s and dossiers are returned to the custody of the department chair.

Step 16

The Board of Visitors acts on the resolution in step 15.

Step 17

The University Eval-4 for AY Year 2012-2013 is approved by Faculty Senate and Provost.

Step 18

Each department chair submits for the review of the appropriate dean a completed EVAL-4 DEPARTMENTAL STANDARDS AND PROCEDURES FOR FACULTY EVALUATIONS for AY 2012-2013. Departments shall base their EVAL-4 criteria in teaching, service, and professional development on the broad values articulated in the University EVAL-4 and on expectations appropriate to the discipline.

Step 19

The Deans and chairs work together to insure that department Eval-4s are consistent with University wide standards and procedures, resolve outstanding questions and issues and notify the department of any changes.