

Procedures for Review of Tenured Faculty by Peers and Administrators College of Arts and Sciences

Section I. Rationale and Purposes

- A. The August 2009 version of the *University of Dayton Faculty Policy and Governance Handbook* sets out policies for the review of tenured faculty (see Section IV.4.C.2.a. and b.). These policies state that evaluations of the activities of tenured faculty in teaching, scholarship, and service must be submitted to the dean by the departmental chairperson or program director at least biennially. These policies also state that each tenured faculty must be evaluated by peers at least once every six years.
- B. Processes for conducting reviews of tenured faculty have been set out, within the context of the aforementioned policy in the *Faculty Handbook*, in Academic Senate document I-06-11 "Review of Tenured Faculty by Peers and Administrators."¹ According to the Senate document,

The faculty of the University of Dayton acknowledges that they must be accountable for the quality of both the undergraduate and graduate academic experience of its students. The members of the faculty also acknowledge that they must be accountable for the quality of their work as scholars, as members of a profession, and as members of both the academic community and of society.²

The Senate document states that, on the basis of such acknowledgement of professional accountability, the faculty of the University "recognize and accept their responsibility for self-reflection as well as for peer and administrative evaluation and feedback on their scholarship, teaching, and service."³ The document also affirms that "both formative and summative evaluations of [faculty members'] work, conducted in the spirit of the University of Dayton's Catholic Marianist traditions, contribute to the success of every faculty member's academic career" and that "review of tenured faculty by peers and administrators is consistent with the values of the University and its faculty."⁴

- C. In addition to affirming the benefits of peer and administrative review of tenured faculty for faculty members themselves, for their colleagues, and for the academic units' strategic planning,⁵ the Senate document maintains that such review is an important dimension of the expectations to which the academic community holds its members as "a largely self-regulating community of teachers, scholars, and leaders dedicated to the generation, transmission, and application of knowledge."⁶

¹ Approved by the Academic Senate on April 19, 2010.

² DOC I-06-11, Section 1, p.1.

³ DOC I-06-11, Section 3A., p.3.

⁴ DOC I-01-11, Section 3A., pp.3-4.

⁵ DOC I-01-11, Section 3D., p.5.

⁶ DOC I-01-11, Section 3B., p.4.

D. In light of these approved University policies and procedures, the College of Arts and Sciences reaffirms the central and indispensable value of faculty tenure for a well-functioning academic community dedicated to excellence in scholarly inquiry and artistic creation, and to excellence in teaching informed by the best available research and pedagogical practice. In accordance with existing University policies, the College understands review of tenured faculty members to have the following primary purposes:

1. To support the quality of faculty members' professional work as teachers, scholars, and members of the university community;
2. To foster faculty members' critical and collegial reflection on their continued professional development and growth in the context of a supportive and respectful work environment; and
3. To advance the excellence of the College of Arts and Sciences' intellectual and academic life within the broader mission of the University of Dayton.

The College, therefore, adopts the following procedural expectations for conducting formative reviews of tenured faculty members within the framework approved by the Academic Senate. Departments within the College shall develop more specific procedures to enact these expectations (cf. Sections III.E. and IV.B. below).

Section II. Annual Faculty Goal-setting and Reflection

- A. All faculty members in the College with tenured faculty appointments must submit to their department chair (or directly to the dean, where required by Section II.F. below) each calendar year a concise summary of at least one, but not more than three, professional goal(s). Each faculty member's goals should reflect one or more of the primary purposes for review of tenured faculty (cf. Section I.D. above) and should contribute concretely to the faculty member's formative advancement in teaching, scholarship, or professional service. Goals should be specific, substantive, and performance-based. For the sake of efficiency, goal statements should be submitted to the department chair at the same time that faculty members submit material for their annual performance reviews. Department chairs are responsible for ensuring that tenured faculty members submit annual statements of their professional goals. The goals should address the calendar year that is beginning, or has just begun, at the time of submission. Faculty plans that encompass a longer period than a single calendar year should be broken down into shorter-term, annual goals. In any given calendar year, a faculty member's goals may emphasize a single area of faculty responsibility (i.e., teaching, scholarship, or service); however, over the course of each six-year period, each faculty member's goals must address each of these areas of responsibility. The statement of the goals should not exceed one page in length.
- B. After the goal-setting process has been underway for one year, tenured faculty members also must submit each year brief, narrative reflections on the progress they have made toward advancing the goal(s) they presented for the previous calendar year. These reflections are to be submitted to the department chair along with the statement of goals for the new calendar year. Reflections upon progress made toward the previous year's goals should be no more than two pages in length. As with the statement of goals, narrative reflections should be composed in light of one or more of the primary purposes for review of tenured faculty (cf. Section I.D.).

- C. It is understood that faculty members may have good reasons for revising the goals they initially advanced for any particular calendar year. It is also understood that, over the course of a tenured faculty member's career, it can be appropriate for the nature of the faculty member's professional goals to change significantly. Moreover, formative reflection on annual goals should complement, without detracting from, annual reviews of faculty members' actual accomplishments.
- D. All tenured faculty members will consult with their department chairs (or with the dean, where required by Section II.F. below) each academic year regarding the goals they have submitted and their narrative reflections on the previous year's goals.
- E. The department chair will submit to the dean by June 30 each year a copy of each tenured faculty member's goals and reflections on the previous year's goals.
- F. Tenured faculty members who hold appointments in the College as department chairs, program directors, divisional endowed chairs, assistant deans, or associate deans that entail some release from teaching responsibilities also will be expected to participate in the annual goal-setting and reflection process. Those whose responsibilities involve release from less than half of their teaching responsibilities will submit their goals and reflections to their department chairs; those whose appointments entail at least a half-time release from teaching will submit their goals and reflections to the dean. Annual goals for faculty members in these positions may include goals specifically related to administrative projects.
- G. As tenured faculty members submit goal statements and narrative reflections for the purpose of formative professional development, these materials are not to be included or referred to in a faculty member's application for promotion (e.g., by the department chair or dean) without the faculty member's permission.

Section III. Peer Review of Tenured Faculty

- A. Every six years following the granting of tenure, each tenured faculty member will meet with a team of tenured faculty peers to review the goals and narrative reflections that the faculty member has submitted annually over the previous six years, along with the faculty member's updated Curriculum Vitae. The review should be conducted in light of one or more of the primary purposes for review of tenured faculty (cf. Section I.D.). The team of faculty peers shall make formative recommendations to the faculty member about his or her future goals and performance. In accordance with University policy, the review must incorporate, among other things, developmental evaluation of the faculty member's teaching effectiveness.⁷ Materials to be submitted for peer review of teaching effectiveness should be stipulated in departmental procedures for the sixth-year review.
- B. The six-year period for the peer review will exclude any academic years during which the tenured faculty member held an administrative appointment with at least half-time release from teaching responsibilities or during which the faculty member was released from all regular responsibilities (e.g., through a medical leave, maternity leave, or unpaid leave, but not sabbatical leave) for at least one full semester. Tenured faculty members who hold at least half-time administrative appointments or who are on medical or unpaid leave for a full semester will not be required to

⁷ See DOC I-06-11, Section 3G.2., p.6.

undergo the sixth-year peer review during an academic year in which they hold such an appointment or have such a leave. Faculty members who hold administrative appointments that entail less than half-time release from teaching will be expected to undergo peer review in their home academic departments.

- C. In the case of tenured faculty members who apply for promotion in rank during the academic year in which they otherwise would have their sixth-year peer review, the promotion review fulfills the requirement for the sixth-year review, and the clock for the next review begins again the year after the promotion application.
- D. The peer review team will consist of at least three tenured faculty members. The department will establish in its bylaws a process for selection of the peer reviewers, not all of whom need be members of the faculty member's department.
- E. Specific procedures for conducting the six-year peer review are to be developed by each department, subject to the review and approval of the dean, consistent with the expectations stated in this document.
- F. Upon completion of the six-year peer review, the review team will submit to the faculty member a statement to the effect that the review was completed in accordance with departmental and College procedures. This statement, along with the faculty member's updated CV, will be copied to the faculty member's department chair and dean.
- G. As part of the review process for applying for sabbatical leave, tenured faculty members should submit documentation of any such peer review they have had in the previous six years.
- H. After each six-year peer review, the tenured faculty member will be invited by the department chair to submit a request for faculty development support, if the faculty member reasonably believes that such support would be helpful in order to make satisfactory progress toward the realization of his or her next set of goals. The department chair would review such requests with the dean, who would determine, in conjunction with the chair, whether additional support is justified and can be supplied. Tenured faculty members may also incorporate resource requests into their annual goal-setting reports.

Section IV. Scope of these procedures and timeline for implementation

- A. The procedures set forth here are not intended to conflict with any currently approved College or University policies or procedures regarding review or appointment of tenured faculty, including policies for annual reviews for meritorious performance, reviews for promotion in rank, or reviews conducted for applications for sabbatical leave. The procedures set forth here also do not alter the conditions for tenure or employment that are presented in the *University of Dayton Faculty Policy and Governance Handbook*, August 2009, Section IV.3, "University Regulations on Academic Freedom and Tenure."
- B. Departmental procedures for conducting the six-year peer reviews are to be submitted to the dean by March 1, 2012 for approval by May 15, 2012. Academic departments in the College of Arts and Sciences have the discretion to establish additional procedures for review of tenured faculty, so long as those procedures

conform to the requirements of this document and to all other applicable College and University policies and procedures. Ultimately, the dean has administrative responsibility for determining whether departmental procedures comply with College policies, and the office of the provost has administrative responsibility for determining whether the College's policies accord with University policies.

- C. The procedures set forth here, including the submission of annual goal statements and narrative reflections, shall go into effect with the 2011-12 academic year. So that not all current tenured faculty are on the same six-year cycle for peer review, the office of the dean shall establish, in consultation with the Council of Chairpersons and Program Directors (CCPD), a staggered schedule for peer reviews of tenured faculty, with the first such reviews under these new procedures beginning in 2014-15.

Recommended for adoption by a vote of the College of Arts and Sciences'
department chairs and program directors:
May 4, 2011

Approved by the Dean of the College of Arts and Sciences:
May 4, 2011