

Personnel Policies Workshop

Best Practices for Personnel Committees
October 2017

Why?

- Importance of the process
- Heighten awareness of policy guidelines
- Inform new faculty
- Ensure uniformity and integrity of process
- Discuss best practices

Prior to First Meeting

- Provide Provost's office a list of individuals that are on Department Personnel Committee and have permission to review the Candidate's file
- First Email
 - Important dates
 - Link to personnel policy
 - Direct members to review key Articles
 - Article 2 (Personnel Committee Operating Procedures)
 - Article 3 (Professional Evaluation and Advancement)
 - Article 5 (Reappointment)
 - Article 6 (Promotion)
 - Article 7 (Tenure)
 - Direct members to review the file prior to the first meeting (including how and where to do so)
 - "In all personnel matters, with the exception of sabbaticals, merit and campus level awards, personnel committee members must read the candidate's Personnel File." (Article 2, Section 1, Item A)

Prior to First Meeting

- Develop a procedural plan.
 - Will applications be assigned to a lead letter-writer?
 - How will the draft recommendation be circulated among committee members for review? *(Do not use Blackboard. Box is recommended.)*
 - How will copies of the final letter be made available to committee members? *(Do not use Blackboard. Box is recommended.)*
- Prepare any ballots and envelopes needed for committee voting
 - Typed ballots recommended

First Meeting

- Ensure all members have signed file prior to meeting
- Review procedures and criteria
 - Criteria in Article 3, and relevant Article for type of review
 - Any procedures used by the Committees in addition to the procedures in Article 2:
 - must be adopted in writing each year and placed on file with the Campus Senate Office and the Vice Chancellor for Academic Affairs before deliberations begin
 - cannot be changed after deliberations have commenced.
- Discuss confidentiality
 - All discussion and documentation considered must be held in strict confidence
- Review dates & deadlines
 - If a Committee fails to act within the deadlines of the Campus Academic Personnel Calendar, the Committee waives its right to consider the case.

First Meeting

- Select a Personnel Committee Chair
- Materials to Review
 - Personnel Files (housed in Provost's office)
 - Each member must sign file again
 - Narrative (submitted to personnel file)
 - Portfolio (submitted with Narrative, but not placed in personnel file)
 - Current vita

Important Procedural Guidelines

- Committee Membership
 - Neither candidates nor their spouses, domestic partners, household or family members can deliberate and/or vote on their cases.
 - Tenure-track faculty members who resign, are not reappointed, or are denied tenure are not allowed to serve on personnel committees or to participate in the personnel process.
 - Any individual who cannot adequately, appropriately, or fairly consider the case should recuse her/himself
 - Any concerns about conflicts of interest should be discussed with the Chairperson prior to the first meeting of committee deliberation.

• Committee Deliberation

- In order to vote, committee members must have
 - read the personnel file as documented by signature and
 - participated in the entire substantive discussion of the candidate's case
- Deliberation must be based solely upon applicable criteria set forth in this Policy and documentation contained in the Personnel File and/or Portfolio" (Article 2, Section 1 Operating Procedures, Item A)
 - *What about "direct knowledge"?*
 -
- Personnel committees should review and consider carefully feedback given to candidates in prior personnel reviews.
- Deliberation and voting by all personnel committee members shall be conducted only when a majority of all voting members of the Committee is present.
 - Does not include faculty on leave or sabbatical unless they choose to be present
- All votes taken shall be by secret ballot.

Recommendation Memos

- Each category of personnel decision has its own purpose, and recommendation memos should be consistent with that purpose.
- The content of all written assessments and recommendations should convey strengths and weaknesses with enough clarity that the candidate and other personnel reviewers and decision-makers understand key perspectives represented in the vote, with supporting evidence.
 - Discuss dissenting opinions
 - Department letters should provide disciplinary perspective of candidate's work in terms of norms and expectations
- Clarity in the reappointment recommendation memos also benefits the candidates by clarifying areas of weakness.
- Must be in writing, signed by the Committee Chairperson, and include
 - Date(s) of deliberation(s) and vote
 - Names of committee members present at time of final vote
 - Number of positive votes, negative votes, and abstentions for the final vote
 - Recommendation is based on number of yes/no votes (not abstentions)
 - Documentation of the use of data prepared by the campus, such as teaching statistics
- Memo from College-level Personnel Committee goes to:
 - For **Tenure and Promotion**, memo to Dean, Candidate, and Personnel File
 - For **Reappointment**, memo to Dean, Candidate, Personnel File, **and** to Department Chair
 - Envelopes should be clearly marked "confidential"

Important Evaluative Guidelines

- It is the responsibility of the faculty member to document achievements in teaching, scholarship, and service that reflects the distribution of her/his workload. (Article 3, Sect 1, p.16)
- Teaching is the primary and central criterion for all instructional faculty.
 - Beyond student evaluations
 - "Any quantitative assessments of teaching and advising should be evaluated in the context of qualitative measures such as documented comments by students and colleagues, reports on activities, course syllabi, and other relevant materials." (Article 3, Section 2(A))
- Evaluate according to the performance of professional responsibilities within criteria described in the Faculty Personnel Policy as the criteria are appropriate to the faculty member's discipline, specific role, and work assignment.
- Faculty should not normally use activities to meet more than one of the criteria. If activities are applied to more than one criterion, the weight of these activities is diminished.
- Evaluators look for a pattern of professional growth and development within the context of the performance criteria.

Portfolio Guidelines

- Portfolio Guidelines – Faculty Personnel Policy Appendix 10
 - Are intended to assist faculty candidates as well as personnel committee members
 - Describe application narrative as well as portfolio
 - Provide examples of types of activities that fit within each category
- Together, narrative and portfolio should present a factual description, that is evidence-based, of candidate's strengths and accomplishments
- Narrative is the application and must be submitted to the personnel file.
- Portfolio
 - should contain only the most important evidence; it is NOT an exhaustive compilation of evidence
 - does not become part of permanent personnel file

Reappointment Reviews: *Candidates*

- Must submit a narrative and portfolio documenting the extent to which his/her professional activities meet the standards for reappointment.
- Must include a current vita and a summary and analysis of student evaluations of teaching.
- Submit narrative and portfolio to Personnel File and give copy of narrative to the Department Personnel Committee Chair and to Dean.

Reappointment Review Standards

- Record of effective performance and accomplishment, according to the criteria for teaching, scholarship, and service outlined in Article 3 of the Faculty Personnel Policy.
- A record of service and scholarship established prior to coming to UIS may be considered as part of a holistic evaluation of the candidate's record.
- Record must indicate significant progress toward becoming a high quality faculty member.

Reappointment Review: Committee Recommendations

- Written assessment of strengths and weaknesses
- Written assessment of continuing need for the faculty member
- Recommendation for reappointment or non-reappointment
- Memo from College-level Personnel Committee goes to Dean, with copy to Candidate, Personnel File, and to Department Chair

Reappointment Review: Candidate's Comments

- After each recommendation, Candidate may submit comments to the next level relative to the recommendation received. Comments should include any areas of disagreement with the recommendation and any claim of procedural error or discrimination.
- Must do so in writing within 5 working days of receipt of the recommendation.
 - Application materials may not be altered
- Copy to the Personnel File.

Tenure Reviews: Candidates

- Must be tenure-track at rank of assistant, associate, or full professor in order to apply.
- Must have completed minimum probationary service period – normally 6 years at rank of assistant professor or above at one or more institutions of higher education, including no less than 3 years of experience at UIS.
 - Full-time service at rank of instructor or above at an accredited institution of higher education can count for up to 3 years of credit, but service on a temporary or visiting appointment or while on leave of absence normally does not count.
- Must submit an application documenting the extent to which his/her professional activities meet the standards for tenure (see Article 7).
- Have the burden of proof and documentation of qualifications and performance, and are responsible for preparing a Portfolio for Tenure.

Tenure Review Standards

- Look for evidence of excellence in teaching at UIS, **and** cumulative record of high quality in the combination of categories of scholarship and service, *provided that candidate's performance is, at a minimum, satisfactory in both categories*. Candidate may demonstrate:
 - high quality in the balance **or**
 - high quality performance in one **and** satisfactory performance in the other.
- As part of a holistic evaluation of the candidate's record, Committee may consider a record of service and scholarship established prior to coming to UIS.

Tenure Review

- **Committee Recommendations** (department, college, dean, TRC)
 - Written evaluation according to criteria of professional performance
 - Recommendation to tenure or not to tenure
 - Copy to Candidate AND to Personnel File
- **Candidate's Comments**
 - After each recommendation, Candidate may submit comments to the next level relative to the recommendation received. Comments should include
 - any areas of disagreement with the recommendation
 - any claim of procedural error or discrimination.
 - Must do so in writing within 5 working days of receipt of the recommendation.
 - Copy to the Personnel File.

Promotion Reviews (Article 6): Candidates

- Must have an earned doctorate in an appropriate discipline unless criteria in Article 10, Sect 4A & B are met.
- Must have completed required years in service for rank (7 years as Associate Professor, at least 2 at UIS). A record of service, scholarship, and/or teaching prior to coming to UIS may be considered as part of a holistic evaluation of the candidate's record.
- Must submit an application demonstrating excellence in teaching at UIS, in addition to meeting the performance standards set forth for scholarship and service.
- Are responsible for the preparation of a Portfolio for promotion that documents eligibility and satisfaction of the criteria for the rank sought.
- Have the burden of proof and documentation.

Promotion Review Standards

- For promotion *from assistant to associate professor*, must document and demonstrate a cumulative record of high quality in the combination of categories of scholarship and service, provided that performance is, at a minimum, satisfactory in both categories. Candidate may demonstrate...
 - high quality in the balance, or
 - high quality performance in one and satisfactory performance in the other.
- For promotion *from associate to full professor*, must be tenured AND must demonstrate and document a clear record of excellence in teaching, scholarship and service.
 - Service must include a **full mix of contributions** to the university, discipline, and external community. The record of service as a whole is assessed for overall excellence, provided that service performance is, at a minimum, **satisfactory in all areas** of service.

Promotion Review

- **Committee Recommendations** (department, college, dean, CPC)
 - Written assessment of strengths and weaknesses of the candidate's performance relative to the criteria for promotion
 - Recommendation to promote or not to promote
 - Sent to Dean with copy to Candidate and to Personnel File
- **Candidate's Comments**
 - After each recommendation, Candidate may submit comments to the next level relative to the recommendation received. Comments should include...
 - any areas of disagreement with the recommendation and
 - any claim of procedural error or discrimination.
 - Must do so in writing within 5 working days of receipt of the recommendation.
 - Copy to the Personnel File.

Questions/Discussion