

Department of Educational, School, and Counseling Psychology
Guidelines for Annual Evaluation of Faculty
May 5, 2004

Annual evaluations of faculty are designed to fulfill two goals: (a) to evaluate the performance of the faculty on an annual basis, and (b) to establish goals for the coming academic year. The annual evaluation is based on a calendar year (January 1-December 31) of each year. Faculty members are responsible for providing information relevant to their professional activities during the year under consideration. The materials that are provided by the faculty should reflect the faculty member's activities and performance in research, teaching, and service (see the specific forms are identified below in the Procedures section)

Procedures

A. In early January, the Chair will notify faculty that performance evaluations will be conducted during the winter semester, and identify specific timelines when the reports are due to the Chair.

B. The following performance/accomplishments reports for the Department are as follows:

1. The Faculty Accomplishment System (FAS). This information will be used by the Dean and upper level university administrators as they make reports, compare units, etc. This report is a **very important one** for the Department and College. The dean has made **full completion** of this report on a higher priority. Note that this report can substitute for the Research section of the Departmental Faculty Activity report below. To complete this form, go to <https://iatservices.missouri.edu/fas/>. On this form, only enter publications that appeared in print, grants that have been awarded, and presentations that have actually been made up to December 31 of the year under consideration. Do **not** include "in press" publications here.
2. Departmental Faculty Activity Reports. This report summarizes work for the year under consideration in (a) research (refer to your FAS report as much as possible here), (b) teaching, and (c) service. For this report, follow the revised Jane Doe example titled "Faculty Activity Report 2003" as a model (attached). On this report include any relevant activities from January 1 to December 31 for the year under consideration. The function of this report is to provide the primary data for the annual departmental review, and subsequently, the basis for raises from the Department.
3. Niche Merit Reports. Procedures are determined on a yearly basis depending on raise pools.
4. Untenured Faculty. On March 1, relevant FAS and Faculty Activity Reports of untenured faculty will be immediately distributed to the Department Academic Personnel Committee. These reports should briefly summarize

teaching, research, and service for the last year. If untenured faculty would like, it is acceptable to write a brief (1-2 page) overview of your accomplishments.

- C. After the Chair receives the performance/accomplishments reports from the faculty at the specified date, individual meetings will then be established with each faculty member. During that meeting, the accomplishments of the faculty member will be discussed in all three categories (research, teaching, and service), as well future goals. In addition, during this meeting adjustments to the typical 40/40/20 (research, teaching, and service work load) may be negotiated at this time.
- D. After all of the individual meetings with faculty have been conducted, the Chair will rank faculty's overall performance in research, teaching, and service. Each faculty member will be given a numerical rating of their overall performance from 1-10 with 10 being exceptional.
- E. The Chair will then average performance ratings from the current calendar year along with the previous calendar year. This 2-year rolling average will be the basis for determining raises each year. Using the two year running average, the Chair will place faculty into three categories: (a) performance exceeds expectations, (b) performance meet expectations, (c) performance is below expectations. In addition, the chair may rank order individuals within each of these three categories.
- F. The Chair will then assign raises based on the three categories and 2-year rolling-average rankings, specifically in terms of a percentage of increase for each faculty member. This information will be communicated to the Dean for his consideration.
- G. Upon approval from the Dean, faculty will receive in writing from the Chair their overall performance evaluation, as well as their raise percentage for the upcoming academic year. In addition, if relevant, the faculty member's adjustments to the typical 40/40/20 will be documented in this letter.
- H. If a faculty member disagrees with his/her performance evaluation, the appeal procedures are as follows: (a) the faculty member discusses this issue with the Chair, and presents the reasons for disagreeing, (b) the Chair then can reevaluate the rating/ranking based on the discussion, any new information. If the faculty member continues to have concerns about the rating/ranking, appeals can be made to the Dean.
- I. The Chair will develop a data base across years to provide the average mean rating for all of the faculty in the department, and provide some descriptors (e.g., mean teaching evaluations) within each of the three categories.

Department of Educational, School, & Counseling Psychology
University of Missouri-Columbia
Approved by ESCP Faculty, April 9, 2003

GUIDELINES AND STANDARDS FOR FACULTY REVIEW:
ANNUAL REVIEW OF UNTENURED FACULTY,
PROMOTION AND TENURE TO ASSOCIATE PROFESSOR AND PROFESSOR

I. University, College, and Departmental Regulations and Guidelines

University regulations regarding academic tenure regulations (sections 310.010 through 310.080) may be found on the web at:
<http://www.system.missouri.edu/uminfo/fules/content.htm#chp310>.

Consistent with the University regulations, the College of Education Academic regulations entitled “The Essential Work of the Faculty: Teaching, Research, and Service” can be found at <http://.coe.missouri.edu/~dean/FacPol02.html#6>; portions of that document are included here in this document to define the parameters of teaching, research, and service standards.

This departmental document provides additional guidelines and standards for annual review, promotion and tenure; all statements within this document are interpreted as not in conflict with university and college regulations

II. Department Academic Personnel Committee

A. The Committee shall consist of six tenured faculty members representing the three emphasis areas elected by the Department faculty by a written ballot consisting of all tenured faculty. The term shall be three years with staggered terms

B. The Committee Chair for each academic year shall be selected by the members of the Committee at their first meeting.

III. Procedures for Annual Review of Untenured Faculty in Tenure-Track Positions

“Consideration for award of continuous appointment and promotion to the rank of associate professor normally occurs after a probationary period not to exceed six years, as described in the Academic Tenure Regulations” (University of Missouri Collected Rules and Regulations, 310.020). During the probationary period the Department Academic Personnel Committee conducts annual reviews of each person hired in a tenure-track position. The review process unfolds as follows:

- A. Each person hired in a tenure-track position shall be given a current copy of the Guidelines and Standards for Faculty Review: Annual Review of Untenured Faculty, Promotion and Tenure to Associate Professor, and/or Promotion to Full Professor at the time of the individual's initial academic appointment in the Department.
- B. The Department Chair shall meet with each person during the first semester of his/her employment to review the Guidelines and Standards for Faculty Review: Annual Review of Untenured Faculty, Promotion and Tenure to Associate Professor, and/or Promotion to Full Professor.
- C. The Committee shall conduct annual performance reviews of untenured faculty members in the Department who hold tenure-track positions. The purpose of these reviews is to evaluate their progress in fulfilling the criteria prerequisite to the granting of promotion and/or tenure.
- D. Each person being reviewed shall receive a letter from the Committee Chair describing his/her progress in fulfilling the criteria, and, when appropriate, recommendations for additional work to be done.
- E. The Committee shall submit annually to the Department Chair a formal written recommendation to reappoint or not reappoint each individual who has been reviewed. The Committee's determination shall be made in accordance with the established criteria for promotion, and/or tenure that have been given to the individual at the time of the individual's initial academic appointment in the Department.
- F. Normally a person applies for promotion to Associate Professor during the sixth year, and, if successful, is promoted and awarded tenure September 1, beginning with the 7th year.

IV. Procedures for Promotion and Tenure

A. Action by the Department Chair

The Chair will notify the faculty members being considered for promotion, and tenure, and request that they furnish the Chair of the Committee with the following information where applicable:

1. Vita
 - A copy of a current vita
2. Teaching
 - A statement of teaching philosophy

- A statement of teaching responsibilities presented chronically, including any especially noteworthy accomplishments, awards, and honors
- A narrative summary of the various teaching evaluations presented should be provided
- Numerical student evaluations should be summarized in brief tables. Indicate the number of students in each class and the number reporting on a given evaluation. Where possible, the data should be comparative with other course evaluations in the department. In all cases, the data should be explained in context.
- A summary of other forms of teaching evaluations, such as peer teaching evaluations (no more than 4 peer evaluation letters). Peer reviews are to represent various stages of the relevant portion of the candidate's career and to assess, not only particular class meetings, but general aspects of course design such as the selection of materials and the structure of course requirements
- A statement of what the candidate has contributed to the Department's teaching mission (e.g., new courses, mentoring, teaching innovations)
- A summary of advising activities (e.g., undergraduate advising, graduate advising, thesis/dissertation direction.)

Other Teaching Contributions, if Applicable: For example:

- A summary of involvement in campus-wide teaching initiatives (e.g., Campus Writing Program, General Education Program, Honors College, FIGS, Residential Learning Communities, Wakonse, Colleague Circles, First-Year Experience) and the use of technology in the delivery of instruction if available
- A summary of Extension activities (e.g., number of workshops, presentations, detailed evidence of the quality of Extension activities, including any awards or honors if available)
- A description of candidate's international work, including teaching, research, lecturing, technical assistance, consultation, and program development if available

3. Research

- A narrative summary of research activities, accomplishments, and impact.
- A narrative summary of the candidate's scholarly works using the format of the "Placement of Scholarly Works" form
- A list of titles of books with the percentage of contribution to jointly authored book chapters, and edited books

- A list of refereed journal articles with the percentage contribution to jointly authored articles
- A list of scholarly presentations at professional conferences.
- A list of other publications including abstracts and proceedings
- A list of major creative works, exhibitions, and juried shows if applicable
- Comments with respect to the quality of publications, creative works, including any major awards and honors, general comments about disciplinary standards (basic vs. applied research, journal articles vs. case reports)
- Information about the quality of journals in which the candidate has published
- Information about internally and externally funded grants, contracts, or institutional support (e.g., start-up funds, release time, total funding, funding source, number of years, salary coverage, and whether graduate students are paid from the grant)

4. Service

- A narrative summary of the extent and impact of service contributions related to the Department's mission.
- A summary of participation and leadership in meetings of state, regional, and national associations, including state and national agencies as well as work on state and national policy and legislation, offices held, committees, and editorial, and refereeing responsibilities, etc.
- Where appropriate and especially for promotion to full professor, a list of service to the campus community including service on college and campus committees as well as service to state and national agencies and state and national professional associations
- For promotion to full professor, if there are substantial service contributions, peer and other evaluations (no more than four peer evaluation letters) may be solicited.

B. Action by the Candidates

Candidates are required to submit a copy of all publications cited on their vitas to the chair. If some are unavailable, this fact should be noted and reasons should be given. Publications listed as "accepted" or "in press" must be verified by copies of letters from editors and/or publishers. Documentation of newly acquired evidence may be added to the application at any time during the entire review process, including reviews at the departmental, college, and university levels.

C. Confidential Letters from Established Scholars

Six confidential letters from established scholars at other universities are required. These letters are solicited with input from the candidate, but the Department chair makes all final selections without the knowledge of the candidate. In all cases, scholars who have co-authored publications are ineligible to serve as external reviewers. For candidates being reviewed for full Professor, only scholars who are full Professors are eligible to serve as external reviewers. A maximum of five reprints selected by the candidate will be sent to the reviewers, along with the candidate's summary of his/her research and a current vita. The scholars from whom letters will be solicited are asked to assess the quality of the candidate's professional expertise in research as well as the potential promotability of the candidate at their institutions. Candidates will be asked to sign a waiver stating that they waive the right to see the external reviewers' letters.

D. Open Call for Input From Departmental Faculty

The Chair will make available to all departmental faculty a copy of the candidate's vita as well as her/his teaching, research, and service summary. Subsequently, the Chair will solicit confidential input from all departmental faculty who wish to comment on the candidate's credentials and performance related to promotion and tenure. Any letters will be made available to the Department Academic Personnel Committee, as well as the Chair, for their subsequent evaluations of the candidate.

V. Criteria for Promotion and Tenure

The Committee is responsible to review all pertinent candidate information and arrive at a conclusion concerning the candidate's readiness for promotion/tenure. The candidate's stature is based on the composite of the three faculty functions of teaching, research, and service. These faculty functions are the basis for the criteria used to judge candidates who are being considered for promotion and tenure.

A. Promotion

Associate Professor with Tenure: Has begun to establish a national reputation as a scholar; has published 10 to 12 high quality publications from section VI, B, 1 (predominantly from category A) that establish an empirical and programmatic line of research ; has attended and presented on average at one national conference each year; has made a substantial effort to obtain a funded grant/contract that furthers the faculty's research agenda and supports the mission of the department and college; has provided a wide range of evidence indicative of effective teaching and has made satisfactory contributions to service in the Department, College, Campus, and/or University.

Professor: Has established a national and/or international reputation for sustained scholarship in at least one area; has provided evidence of the impact of his/her scholarship; has continued his/her program of research since becoming an

Associate Professor by publishing at least 10-12 high quality publications from section VI, B, 1 (predominantly from category A) that build on and expand an empirical and programmatic line of research; has demonstrated substantial efforts to obtain externally funded grants/contracts that further the faculty's research agenda and support the mission of the Department and College; has regularly presented at and shown evidence of leadership in state and national professional organizations as well as strong evidence of teaching effectiveness; and has provided evidence of leadership in service in promoting the mission of the Department, College, Campus, and/or University.

B. Tenure

The requirements for achieving tenure are the same as the requirements for promotion to associate professor. In each instance, there is implied a permanent relationship between the faculty member and the University. Careful consideration is given to the faculty member's past and present teaching, research and publications, professional competence and service activities, as well as to how the faculty member promotes the mission of the Department, College, Campus, and University.

VI. Standards of Performance for Promotion and Tenure

A. Standards for Teaching Performance

Teaching refers to instructional responsibilities including organized classes, individual instruction, thesis supervision, dissertation supervision, field supervision, graduate and undergraduate advising, and mentoring. Typically, teaching shall consist of four organized courses (usually 12 credit hours of organized courses) in an academic year plus other instructional responsibilities as described in the previous sentence to fulfill the teaching responsibility of 18 hours per academic year (College of Education Policy 02-06, Amended, March 21, 2002)

In the Department of Educational, School, and Counseling Psychology teaching activities include the following:

- a. Teaching didactic courses, seminars, and practicum, and fulfilling duties associated with effective instruction.
- b. Advising students, supervising master's theses, supervising practicum students, manuscripts, portfolios, doctoral dissertations, and providing individual instruction and mentoring.
- c. Developing innovative courses, materials, and/or methods of teaching.

- d. Implementing externally funded training grants/contracts to promote the mission of the Department and College.

The evaluation of a faculty member's performance in the above listed areas is based on the individual's assigned teaching responsibilities. Such evaluations cover the time period that the faculty member has held his/her present rank. To be considered satisfactory or excellent, the candidate is required to perform the teaching and administrative duties associated with the above activities including grading student performance in classes, supervising and mentoring students, developing curriculum, establishing and keeping office hours, and accurately monitoring student's and advisee's progress. Information used in the evaluation of teaching includes student course evaluations, visits with the faculty member, feedback from other faculty and students, and other sources of data that reflect on student learning and the faculty member's teaching effectiveness.

Unsatisfactory. Teaching performance is unsatisfactory when a faculty member does not perform the required teaching and associated administrative duties in promoting the mission of the Department described above; when the faculty member is consistently rated well below average by students and faculty members in the Department (or College and Campus if the survey results in that broader comparison); when the faculty member does not adequately advise or follow through with supervisory responsibilities, and does not develop or employ new materials, new methods, or other innovative techniques to improve her/his teaching performance.

Satisfactory. Teaching performance is satisfactory when a faculty member performs the required teaching and associated administrative duties described above in a manner rated satisfactory by students and faculty relative to other members in the Department (or College and Campus if the survey results in that broader comparison); when the faculty member adequately advises and follows through with supervisory responsibilities; and when the faculty member often develops or employs new materials, new methods, or other innovative techniques to improve his/her teaching performance.

Excellent. Teaching performance is excellent when a faculty member performs the required teaching and associated administrative duties described above in a manner consistently rated as exemplary; when the faculty member is consistently rated as excellent by students and faculty members in the Department (or College and Campus if the survey results in that broader comparison); when the faculty member advises and follows through with supervisory responsibilities in an exemplary fashion; and when the faculty member frequently develops or employs new materials,

new methods, or other innovative techniques to improve his/her teaching performance.

B. Standards for Research Performance

Research refers to a systematic investigation or inquiry. The value of the accomplishments that arise from such activity resides in their demonstrated importance on the basis of valid comparisons and their acceptance by peers. Hallmarks of research include the use of theory, critical reflection, systematic methods, and peer review. Our view of research involves the discovering of new knowledge and the integration of existing knowledge into larger intellectual patterns; the development of ideas or products; and the demonstration of impact and dissemination through instruction, publishing, and presentations at professional conferences. Research in the College of Education may include but is not limited to the following:

- Designing and conducting studies, engaging in systematic inquiry and reflection, and expanding existing knowledge
- Giving meaning to information and making creative connections through research among existing forms of knowledge
- Creating and evaluating artistic and technological endeavors and innovations
- Forming and evaluating new areas of study by synthesizing existing, unrelated concepts, theses, and elements
- Evaluating new concepts, technologies, materials, and procedures through demonstration in applied settings coupled with appropriate (i.e., refereed) peer review

As an essential part of the work of the faculty, faculty members are expected to engage in programmatic research. It is expected that scholarly activities in the form of research will occupy a significant portion of the faculty members' overall responsibilities. Moreover, faculty members are expected to present their research for peer review and dissemination in professional forums and referred publications. (College of Education Policy 02-06, March 21, 2001).

Consistent with the policy of the College of Education and with the accepted practices for quantitative and qualitative empirical research for the disciplines involved in the Department of Educational, School, and Counseling Psychology, the criteria for research emphasize the generation and dissemination of new knowledge that is embodied in faculty programs of research. In addition, the criteria emphasize high quality, empirical and theoretical research that is submitted for peer review and dissemination in professional meetings and scholarly publications. Candidates must show scholarly leadership through first

authorship in at least some instances with more such leadership expected for promotion to Full Professor.

1. Definitions of Types of Publications, Reports and Other Materials

In classifying publications as being of primary and secondary importance, an attempt is made to provide a means for making fair judgments about the candidate's research efforts. For example, in general, books, book chapters, and empirical or theoretical journal articles in refereed journals are more important than technical manuals, articles in unrefereed journals, newsletters, research reports to private or public institutions, or sets of demonstration materials or other work not subjected to editorial review. An article of national interest in a national journal is judged to be more important than an article of local interest in a local publication.

a. Primary Importance

- Publication of articles in high quality, refereed professional journals.
- Authorship of professional books and textbooks.
- Chapters in edited professional books and textbooks.
- Major funded grants/contracts (as a PI or Co-PI).
- Publication of psychological and educational tests.

b. Secondary Importance

- Publication of articles in secondary (credible journals for specialized audiences) refereed professional journals.
- Edited professional books and textbooks.
- Grants/contracts submitted (but not funded) and small funded grants/contracts.
- Publications of models for educational and organizational evaluation and training.

2. Application of Criteria

- Unsatisfactory. No publications or publications evaluated as lacking rigor and quality.
- Satisfactory. The quality and quantity of publications expected for the candidate's time in service and rank.
- Excellent. Research activity and publications of unusually high quality and of significant value or impact of the field for the candidate's time in service and rank.

B. Service

Professional service is reflected in faculty interactions with their communities of scholars and other professionals at local, state, regional, national, and international levels. This work is evidenced by activities such as participating in the committee work of associations; holding positions of leadership; serving as resource persons; and organizing, conducting, or presenting at professional development conferences, workshops, and seminars. Faculty also are expected to be participants in running the affairs of the University at all levels through their work on committees and other duties as assigned. Finally, as citizens of our community, or state, and our nation, faculty members may participate in the work of civic and community organizations. (College of Education Policy 02-06, March 21, 2001).

Service is reflected in a faculty member's interaction with his/her communities of scholars and professionals. Examples of such interaction include the following:

- participating in professional meetings
- serving on professional association committees
- serving as journal editors
- serving on editorial boards
- serving on grant panels
- serving as a conference program chair
- managing and administering grants
- serving on national policy boards
- attending professionally sponsored workshops

Service is also reflected in a faculty member's interactions with their Department, College, Campus, and University. Faculty are expected to participate in committees at the Department, College, Campus and/or University levels as well as in interacting with the community at large in ways that will contribute to the community and add to the stature of the University.

1. Standards for Service

- Unsatisfactory. Limited or no attendance at national, regional or state professional association meetings; limited or no attendance at professionally sponsored workshops or courses designed to extend one's general or specific knowledge in topics relevant to one's academic and research interests; limited or no involvement in the affairs of the

- Department, College, Campus and/or University; limited or no involvement with community groups.
- Satisfactory. Regular attendance at and involvement in state, regional and national professional meetings; participation in workshops designed to extend one's general or specific knowledge in areas relevant to one's academic and research interests; occasionally invited as a speaker and/or consultant to professional groups and organizations; some involvement in Department, College, Campus, and/or University work; occasional presentations to and/or involvement with community groups.
 - Excellent. Holds position of responsibility in and has frequent involvement in state, regional, and national professional organizations; serves as editor or on editorial boards of professional journals; frequently serves as a workshop presenter/consultant for professional groups and organizations; provides active leadership within the Department, College, Campus, and/or University; is a resource to the community.

VII. Academic Personnel Committee Rules of Operation

- A. No person whose credentials are to be considered in a given year shall be eligible to serve on the Committee during that year.
- B. The Department Chair shall make a presentation to the Department Academic Personnel Committee concerning the expectations and performance of each candidate. The Department Chair is neither eligible to vote nor be present during the deliberations of the Committee beyond the scope of the Chair's presentation and related questions from the Committee.
- C. For the annual review of untenured faculty, the Department Chair will request an annual performance summary from each untenured faculty member. The Department Academic Personnel Committee will review these materials and write annual evaluation letters. The department chair will be available to respond to any questions or provide additional information if the Committee so desires. After the letter is written and agreed upon by the Committee, they send the evaluation letter to the faculty member, with a copy to the Department Chair, by April 1.
- D. For promotion and/or tenure review, each recommendation forwarded by the Committee to the Department Chair is based on a simple majority vote

of all members of the Committee. The number of votes for, and against the candidate, including abstentions are recorded on the Promotion and Tenure Summary Sheet. All members of the Committee (or eligible substitutes, as selected by the Committee chair) must be present for all deliberations. Each Committee member or substitute must participate in all deliberations pertaining to the candidate(s) on which he/she will vote.

- E. For promotion and/or tenure review, the Committee's recommendation in each case shall be provided to the person under review and the Department Chair. The letter that is forwarded to the College of Education Promotion and Tenure Committee from the Department Committee, however, is confidential and is not given to the candidate. If the candidate receives a negative recommendation, the Committee's letter (with all identifying information from confidential reviewers deleted) is made available to the candidate upon appeal.

VIII. Chair Review and Recommendation

- A. Upon completion and receipt of the review and recommendations of the Academic Personnel Committee, the Chair will conduct an independent examination of the (a) candidate's credentials and performance, (b) the external reviewer's reports, and (c) the recommendations of the Academic Personnel Committee. The Chair will then write an independent letter detailing the candidate's strengths and weaknesses, and concluding with a recommendation regarding the suitability for promotion, and, if relevant, tenure.
- B. The Chair's recommendation in each case shall be provided to the person under review and the Dean of the College. The letter that is forwarded to the College of Education Promotion and Tenure Committee and the Dean of the College of Education from the Chair, however, is confidential and is not given to the candidate. If the candidate receives a negative recommendation, the Chair's letter (with all identifying information from confidential reviewers deleted) is made available to the candidate upon appeal.