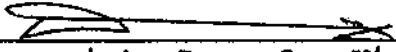
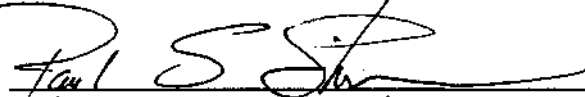


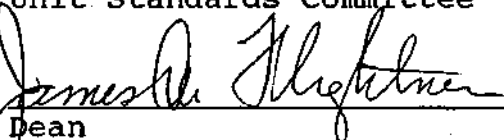
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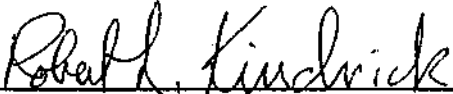
DIVISION OF BIOLOGICAL SCIENCES

Reviewed and Approved by:


Associate Dean for Unit Faculty Nov. 1, 1993
Date


Unit Standards Committee Nov. 1, 1993
Date


Dean 11/2/93
Date


Provost and Vice President 12-3-93
for Academic Affairs Date

Pursuant to Section 10.250 of the CBA the faculty of the Division of Biological Sciences unanimously* requests that these standards be approved for application during the 1993-94 review cycle.

- * Dr. Thomas Mitchell-Olds has requested that the previously approved DBS standards be applied to review **his** performance. LwK

Division of Biological Sciences

Unit Standards and Procedures for Faculty Evaluation and Advancement

The Division of Biological Sciences (DBS) shall be guided by standards and procedures set forth in the current Collective Bargaining Agreement (CBA) signed between the University Teacher's Union, University of Montana and the Montana University System regarding retention, salary increments, promotion, and tenure. The unit's standards and procedures are intended to be in addition to and consistent with those provided in the current CBA, and in the event of any omissions or inconsistencies, the terms of the CBA shall prevail.

A faculty member should consult the CBA for procedures relative to the evaluation process beyond the Faculty Evaluation Committee and the Associate Dean of the Division, to determine the procedural requirements for appeals.

L_ Faculty Evaluation Committee

A. Purpose

The purpose of the Faculty Evaluation Committee (FEC) is to provide peer evaluation and review of performance of each faculty member in the unit.

B. Composition

The FEC shall consist of three members from DBS, all of whom must be tenured, plus a student representative. A committee member shall not participate in his/her own evaluation. All tenured DBS faculty are eligible except for the Associate Dean of the Division. The faculty on the FEC shall elect a chairperson from among its membership. The student representative shall be appointed for only one year by the Committee chairperson from among the majors and/or graduate students in the Division. The student member is not eligible to serve as committee chair and shall have no voting rights.

Two members of the FEC will be the chairs of the evaluation subcommittees, each representing a graduate program group (Biochemistry/Microbiology, and

Organismal Biology and Ecology). The third member of the FEC and an alternate shall be elected annually from among the tenured faculty of the Division and shall represent (on alternate years) each of the program groups.

Subcommittees will be elected by the faculty within the respective program groups and must be comprised minimally of three faculty members, at least two of whom must be tenured. All DBS faculty are eligible for service on a subcommittee except for the Associate Dean of the Division, adjunct faculty (visiting) or those who hold less than a 0.5 FTE. Each subcommittee will elect a chair from among its tenured membership.

C. Responsibilities

The subcommittee shall apply the unit standards to review the performance of each faculty member in his/her respective program group and make a written recommendation with justification signed by the subcommittee chairperson which shall, where appropriate, specifically address: (1) retention, (2) salary increment, (3) promotion, and/or (4) tenure.

The subcommittee shall use evidence from the individual performance record submitted by the faculty member (see below) as the basis of its evaluation. It shall also consider in an advisory manner the reports of the Student Evaluation Committee. Upon request, any person shall be permitted to address the subcommittee in person regarding his/her performance record. It may, in addition, request and consider evidence from any other source so long as the evidence is relevant to the unit standards and the faculty member to whom the evidence pertains is afforded a minimum of one week to review and respond to the evidence. Evidence gathered from anonymous sources, with exception of the student evaluation forms, shall not be included.

The subcommittee shall provide an opportunity for each tenure-track (probationary or tenured) or adjunct professor (research) at the Assistant level or higher to vote for either a "merit", "normal" or "less-than-normal" salary increment for *every* other DBS faculty member in the program group. A faculty

member may not vote on their own review. The full documentation concerning each faculty member's performance shall be available in the Division office for inspection by any faculty member in the program group prior to his/her-voting. When a faculty member is eligible for promotion, only the faculty of a rank equal to or above the rank to which the promotion would be, shall be asked to vote "promotion" or "nonpromotion". In the case of a candidacy for tenure, only the tenured faculty will be asked to vote on the issue. Any faculty member may abstain from voting when (s)he feels unqualified to vote. Abstentions are not considered in the vote tally.

The subcommittee shall inform the faculty member of its recommendation in writing at least one week prior to forwarding the recommendation to the FEC of the Division. The individual shall sign the recommendation to attest that (s)he has read it, but signature does not imply agreement. Upon request any person shall be permitted to address the subcommittee in person regarding his/her evaluation.

The subcommittee by memorandum shall forward individual recommendations to the FEC at least two weeks before the FEC sends its recommendations to the Associate Dean of the Division. The recommendations prepared for each faculty member by their respective subcommittee will be reviewed by the FEC. The FEC shall apply the unit standards in reviewing the performance of each faculty member in the unit and make an independent judgement. In cases when, by majority vote, the FEC can not support the recommendation of the subcommittee, the subcommittee will be asked to review its recommendation. The FEC will provide the subcommittee a written justification for the request. If the original subcommittee recommendation is not supported upon re-review, a new recommendation will be prepared by the subcommittee and forwarded to the FEC in a timely fashion. If upon re-review the subcommittee votes to support its earlier recommendation, the FEC will again make an independent judgement and prepare a written recommendation that will be forwarded to the Associate Dean of the

Division. Upon request any person shall be permitted to address the FEC in person regarding his/her evaluation. In addition to the individual recommendations, the Faculty Evaluation Committee shall prepare and append a summary of those who have been recommended by the Committee for promotion, merit increase, and/or tenure, respectively; the recommendations shall not be prioritized.

In the case of the Associate Dean of the Division, who is excluded from the collective bargaining unit, the FEC shall be responsible at the request of the Dean of the College or Provost and Vice President for Academic Affairs for assembling preliminary relevant information for evaluation of the Associate Dean, presenting the information to the Division faculty, and preparing the appropriate recommendation. The FEC shall consult with Division faculty and staff, with students and with other individuals familiar with the performance of the Associate Dean. Recommendations for promotion and tenure of the Associate Dean within the Division will be initiated by the FEC based on unit standards.

II. Student Evaluation Committee

A. Purpose

The Student Evaluation Committee (SEC) shall review the teaching and advising effectiveness of the faculty in the Division, using the Instructor and Course Evaluation (ICES) form approved by the Division.

B. Composition

The Associate Dean of the Division shall appoint a SEC consisting of six undergraduates and/or graduate students representing all degree programs in the Division, plus one faculty observer. The Committee shall elect a chairperson from among its student members. The members serve (normally one year) until the next SEC is appointed.

C. Responsibilities

The SEC shall review course evaluations and may seek or receive relevant evidence from students who have taken courses from or have been advisees of the

faculty member being evaluated. The SEC shall neither review the faculty performance record nor have any responsibility for application of unit standards.

The SEC shall prepare written evaluations of the teaching and advising performance of each faculty member whose performance is reviewed. Each written evaluation shall be signed by the chairperson of the SEC, the individual evaluated, the Associate Dean and the Dean by the date stipulated in the CBA.

Neither error nor omission of student participation in any evaluation may constitute grounds for a grievance. The evaluation procedure may proceed without participation by the SEC.

HI. Associate Dean's Recommendation

The Associate Dean of the Division shall submit a separate recommendation for each faculty member as set forth in the CBA, Article 10.240 Department Chairperson recommendation. Any other references in the CBA describing the role of a department chairperson in the faculty evaluation process shall apply to the Associate Dean.

Each year the Associate Dean shall appoint a committee to evaluate the teaching of each untenured faculty member in a tenure-track position. Annual review of teaching will be limited to the two years following the initial appointment and thereafter will occur at the request of the Associate Dean. The committee shall consist of three tenured faculty members, with at least two from the same area within the Division as the untenured faculty member. Each Committee member shall make at least two classroom visitations each year for each untenured faculty member being evaluated. All efforts should be made to see that the classes visited are representative of the types of classes taught that year by the faculty member being reviewed. The committee shall write a joint report describing the teacher's overall effectiveness and offering suggestions for improvement if necessary. The report will be a portion of the yearly review and, as such, shall be available to the individual being reviewed.

The evaluation materials including the performance record, the SEC evaluations, the FEC recommendation, and the Associate Dean's recommendation, each signed by the faculty member, shall be forwarded to the Dean of the College of Arts and Science by the date stipulated in the CBA. The faculty member's signature attests that (s)he has read the material but does not imply endorsement of the recommendation.

The Associate Dean shall prepare and append a summary list of his/her recommendations based on the documentation. The names in each of the lists--merit, promotion, and/or tenure--will ordinarily be ranked in order of priority and a copy will be distributed to all the faculty of the Division.

IV. Documentation

A. Individual Performance Record

It is the responsibility of every faculty member to prepare his/her own individual performance record with full and complete documentation and evidence, as required by the CBA. This record shall address all three areas of faculty responsibility: (1) teaching and advising, (2) research and scholarly activity, and (3) service; using a standard format (see appendix) approved by the faculty and consistent with the CBA.

An individual on split appointment between DBS and another academic unit shall submit the performance record to the unit in which the greatest portion of the FTE is assigned; or if the FTE is equally split, to the unit in which first hired; or if not first hired in one unit, to the unit in which (s)he is best qualified for full-time service.

The FEC and the Associate Dean shall assist each faculty member to ensure that the documentation is accurate, as complete as possible including evaluations from other units to which the individual was partially assigned, and relevant to the unit standards.

The individual shall submit the performance record, dated and signed by the faculty member, to the FEC and the Associate Dean by the date stipulated in the

CBA.

B. Performance Period to be Documented

The performance period, consisting of one or more years of record each running from October 16 to October 15, to be documented for the respective types of advancement is as follows:

1. Promotions: All service in the current rank or since the documentation was prepared for the last promotion.
2. Tenure: The entire probationary period including credited prior service.
3. Merit: The time since the documentation was prepared for the last merit awarded, or for the last promotion, or from the date first hired, whichever is shorter.
4. Normal and Less-than-Normal: The previous year.

V. General Criteria

A. Academic Responsibility

The Division of Biological Sciences is responsible for the teaching and training of undergraduate and graduate students, and making original research contributions in the life sciences. Every person in the bargaining unit is at one and the same time (1) a teacher, (2) a scholar, and (3) a member of the faculty of the University. These functions and responsibilities should not be thought of as mutually exclusive, but as overlapping and complementary. It is recognized that each career is unique and expresses some particular array of preferences and abilities; overall professional directions vary greatly between individuals. Moreover, different types of activities cannot be objectively equated, even in the rare case where a particular contribution can be quantified. For an overall evaluation to be considered normal, a less-than-normal contribution in one area must be balanced by a substantially greater-than-normal contribution in another.

It is expected that in circumstances such as extended illness, or injury, a leave of absence will be taken (see Article 15.000 of the CBA). However, it also is recognized that in the normal course of life events all faculty members may experience occasional reductions in performance associated with stressful or demanding life events, including, but not limited to, those listed above and the following: pregnancy, childbirth, breastfeeding, accidents, divorce. The FEC will consider such occurrences, and performance expectations will be adjusted as appropriate.

B. Teaching and Advising

Performance of teaching duties is expected to reflect acceptable teaching loads as determined by the Associate Dean in consultation with each faculty member, effective teaching skills, when appropriate participation in General Education courses, and advising of and availability to students. Evaluation of teaching performance shall include, but not be limited to, the following: choice of subject matter and emphasis on main issues; the systematic organization and currency of course material; the regular and punctual meeting of classes; assistance to students to learning in and out of the classroom; judicious experimentation with teaching methods; effective communication; thoroughness and fairness of examinations and other grading systems. Judgment of teaching effectiveness will be primarily based upon student evaluations. Supplemental materials and other evidence of effective teaching may be requested from any source, including the faculty member to be evaluated, as warranted. It is important that both- students and classes polled are representative of those regularly taught by the faculty being reviewed.

Each faculty member should have a deep interest in the students' progress and welfare, which includes counseling and advising assigned advisees as well as other students on their program of study and other academic matters, and maintaining a responsible, professional relationship with the students. (S)He will carefully ensure equal application of class standards and requirements.

C. Research and Scholarly Activity

It is expected that a faculty member will be actively engaged in research or scholarly activity of such scope and quality that (s)he can contribute to a graduate program of study. Scholarly activity shall include, but not be limited to, the following: publications, government reports, papers presented at professional society meetings, invited on-and off-campus research seminars, receipt of research grants (or evidence of diligent search for extradivisional research funds), and receipt of special honors, citations, awards, or recognition for research contributions. The significance attached to each should parallel the extent and quality of the peer review it reflects. For example, publications in refereed journals may be weighted more heavily than those in nonrefereed journals, and papers presented at national or international meetings more heavily than those at local or regional meetings. The number and quality of publications in refereed journals is indicative of the level of a productive research program while the absence or near absence of either is strong evidence of research ineffectiveness. The dollar amount of research grants and the number of research grants awarded is indicative of a productive research program, but a sustained effort to acquire extramural funding should be viewed as a positive effort to enhance an individual's research productivity.

D. Professional Service

Each faculty member has obligations and responsibilities to assist in the proper administration of Division and University affairs compatible with their teaching, research and advisory commitments. It is therefore to be expected that (s)he will *serve* on committees, attend University functions, and render public service in the area of his/her professional competence. Such service would include, but not be restricted to: service to professional organizations and societies; membership on Division, University or UTU committees; consultation or lectures to off-campus organizations; recruitment and public relations efforts on behalf of the Division or University; contributions of expertise to

governmental agencies and private organizations; continuing education activities such as extension courses, workshops, and/or seminars; and contributions to University curriculum development.

Quantitative evaluations of service contributions are difficult and any evaluation will be highly subjective. However, the significance attached to service should reflect the level and nature of the actual contributions or achievements of the individual being reviewed.

Adequate documentation of public service activities includes letter of appointment, invitation, confirmation or commendation.

VI. Retention

A. Probationary Appointments

The CBA specifies the rights and status of probationary faculty, including the right to serve the specified term of the appointment, the terms and conditions of employment, notification of non-reappointment, and credit for probationary service.

The criteria described for the less-than-normal salary increment (see below) are sufficient for the non-renewal of contract; however untenured faculty in a tenure-track position are expected to show adequate performance in at least two of the three areas-teaching, research, and service. A non-renewal recommendation shall be forwarded to the FEC, following a simple majority vote of the tenure-track or adjunct professors (research) at the Assistant level or higher in the respective program group, that the probationary appointee does not meet unit standards. A recommendation of non-renewal by the DBS faculty will be handled procedurally in the same manner as all other recommendations to the FEC (as outlined in Section I above).

B. Tenured Appointments

In addition to provisions for the review of tenured faculty for purposes of retention, the CBA specifies the rights of tenured faculty who have received a less-than-normal salary increment for three successive years, and the

evaluation schedule for tenured full professors.

VII. Salary Increments

A. Merit

The merit salary increment is a financial reward for especially strong contributions to Division and University goals. The expectation shall be above normal performance in at least two of the three areas of responsibility: teaching, research, and service; or normal performance in at least two areas and outstanding performance in at least one of these areas. The criteria to be used for judging performance is described above in Section V. The volume of research or teaching endeavors alone does not justify a merit award; both quality and quantity are the criteria. Meritorious research and service accomplishments will ordinarily be such that recognition is extended by professionals outside the Division.

To warrant a merit recommendation, faculty whose primary assignment is to research shall have research accomplishments that exceed both the normal expectations (see Section V) and the above-normal expectations of faculty who have significant teaching and service responsibilities as outlined above. The fractional distribution of contractually designated obligations of adjunct research faculty shall be considered in these decisions.

B. Normal

The performance of faculty members will be expected to grow in value to the institution and will be rewarded with a "normal" increment to their salary. The criterion, as described in Section V, is a pattern of performance in teaching, research and service which is judged to be within limits of adequate performance expected at comparable graduate programs in the life sciences.

C. Less-than-Normal

Either the absence of any performance or poor performance of assigned responsibilities within the scope of employment may constitute grounds for a less-than-normal increment. It is understood that the absence of performance in

any one or two of the areas of teaching, research or service does not justify a less-than-normal increment if the quantity of service in the remaining area or areas is proportional to the FTE of the appointment, and the quality of that service reflects the focus of concentration of effort in the area or areas in which the individual has been assigned to perform.

Subject to the CBA and unit standards, a less-than-normal salary increment could be recommended in cases of flagrant decline in quantity and quality of performance or if the faculty member failed to make progress or serious efforts toward correcting deficiencies noted in a previous evaluation.

A less-than-normal salary increment for three successive years for a tenured faculty member will initiate a tenure review of that individual.

VIII. Promotions

A. To Assistant Professor

Requires the possession of the Ph.D. degree in an appropriate area of specialization and recognition by the faculty that the individual is capable of effective academic activity, productivity, and development.

B. To Associate Professor

Except in highly unusual circumstances, four or more years of full-time service in rank as Assistant Professor are required prior to the date of promotion (application may be made during the fourth year in rank), and possession of the Ph.D. degree. The quality of service in rank as Assistant Professor shall be such that there is a clear demonstration of professional growth and an increasingly valuable contribution to the University. The individual must have publications derived from research done while an employee of The University of Montana. In addition, (s)he must have gained a level of professional ability and recognition as that required for tenure. The completion of the required number of years in rank shall not by itself be ground for promotion.

C. To Professor

Except in highly unusual circumstances, five or more years of full-time service in rank as an Associate Professor are required prior to the date of promotion (application may be made during the fifth year in rank), and possession of the Ph.D. degree. Also required is a clear demonstration of sustained professional ability and recognition at a high level by meeting criteria required for tenure. The individual, while at the rank of Associate Professor, must have publications derived from research done while an employee of The University of Montana. No faculty member may be promoted to full professor on the basis of teaching and service alone. The completion of the required number of years in rank shall not by itself be ground for promotion.

D. Promotions to Any Rank

If research activity is somewhat below normal levels due to an individual's contribution to the University in terms of extraordinary teaching or professional service, such service will be weighed heavily in promotion cases only if such a distribution of effort has been approved and documented through prior discussions with the Associate Dean of the Division and conveyed to the FEC.

In the case of contractually designated research appointments which involve little or no teaching or service responsibilities, evaluations shall be based on significant scholarly contributions to his/her profession. Scholarly work shall be considered significant if it is published where it is widely accessible to the profession, is judged important by nationally-recognized authorities in the candidate's field, and demonstrates the ability of the individual to direct graduate level research.

IX. Award of Tenure

The conditions for eligibility, application, limitations, and rights of tenure are defined in the CBA, and shall apply unless modifications have been made at the time of appointment. A probationary appointee shall be eligible to make an application for tenure after the appointee has accumulated five years of

credit toward tenure, at least three of which have been accumulated at The University of Montana.

It shall be the responsibility of the eligible faculty member to initiate the application for tenure which shall include at least the following: (1) a complete statement of the teaching and advising, research and scholarly activity, and professional service performed by the applicant during the probationary period; (2) a vita of the applicant's publications; (3) evidence that the applicant has achieved or is in the process of achieving recognition in his/her field of competence beyond the University of Montana; and (4) any other information the applicant deems relevant to his/her professional development, competence or performance.

An earned Ph.D. degree or a terminal degree in an appropriate field is required as well as a minimum rank of Associate Professor. Normally, the granting of continuous tenure in the Division will be based almost completely on teaching and research abilities, although it is also assumed that a candidate will have participated constructively in Division and University service. The Division will not recommend tenure for a person who is not effective in some unit teaching role, nor will it recommend tenure for a person who has not demonstrated research effectiveness. Tenure shall in no case be recommended for a person who has not published results of research conducted while an employee of The University of Montana in one or more national or international refereed journals. Exceptions may occur in the event of any prior agreements which are at variance with these conditions and are documented in the individual's job description.

The level of performance required for a recommendation for tenure is higher than that required for a recommendation of normal increment; merely adequate performance will not suffice. The candidate must demonstrate the ability to satisfy the unique academic needs that (s)he was hired by the Division to accomplish, and a commitment to future professional growth and contribution.

Appendix

FACULTY EVALUATION PERIOD OCT. 16, 19_ TO OCT. 15, 19_

(All statements contained in parenthesis should be deleted from your final submission. Nothing is to appear under more than one heading. The performance period runs from October 16 to October 15. Pages are to be numbered sequentially.)

Name _____ Date _____

A. PERSONAL STATEMENT (Limited to 250 words)

B. TEACHING

1- Courses Taught

(List courses by semester for the period to be covered.) Any courses marked with an asterisk were offered for general education. (Place an asterisk before any such course.) Teaching evaluations are attached.

(List all courses taught including research and thesis credits, special problems courses, thesis and dissertation; include number of students enrolled and total credits; do not list students by name. Format: semester, year, course, course title, credits, number of students enrolled.)

2. Other Teaching Activities

(Guest lectures, informal seminars, classroom activities only)

3. Undergraduate Advising

(Numbers by each major; appropriate to include special advising, e.g., Watkin's Scholar.)

4. Graduate Advising

- a. Theses and dissertations approved by Graduate School:
- b. Major Professor to: (give names and degrees pursued).
- c. Number of other committees (M.A., M.S., Ph.D. and discipline) served on (do not include names).
- d. Student honors, grants, presentations, and publications (author and journal; mark with * full citation listed under C if appropriate).

Name
Page 2

C. SCHOLARSHIP AND RESEARCH (Give full citation, including all authors (in sequence), of articles not listed in previous years. Attach photocopies of title pages or letters of acceptance. Do not include submissions or manuscripts in preparation.)

1. Articles in Refereed Journals

(Not abstracts or book reviews. List in chronological order, including title of publication and names of all authors.)

2. Other Refereed Publications

3. Books, Textbooks or Chapters in Books Published

4. Professional Publications (Invited or Non-refereed)

(Include articles in popular journals, reports, book reviews, published abstracts, etc.)

5. Papers and Posters Presented at Meetings

(Title, all authors with presenter underlined, occasion, place, date.)

6. Participation in Workshops and Symposia or on Panels

7. Colloquia and other Research Seminars

(List all research presentations not included in C.5. or C.6. including Division of Biological Sciences and University of Montana seminars.)

8. Grants and Contracts Awarded or Continued

(All grants are to be listed each year funding is received; include title, sponsoring agency, award number, inclusive dates, and total dollar amount.)

9. Grants and Contracts Submitted

(List, with detail similar to C.8. above and indicate whether pending or not funded. Should not duplicate those in C.8.)

10. Honors and Awards

