December 8, 2016

Jim Caringi, Chair
School of Social Work
University of Montana
Campus Mail

Dear Professor Caringi,

Thank you for working with me to revise the Social Work Unit Standards. As we discussed earlier this semester, the following requirement for full professor has been removed: "The faculty member must have been nominated for at least one merit award by the FEC, Chair, and Dean since being promoted to Associate Professor." Similarly, the following requirement for tenure has been removed: "The faculty member must also have a minimum of one merit award nomination by the FEC, Chair, and Dean." The rationale for these changes is that these requirements are not typical in other departments' unit standards.

For clarification in light of these recent revisions, this letter of approval will be posted along with the current unit standards as updated. Please sign below to indicate the department's authorization of the revisions, obtain a signature of approval from Dean Humphrey, and return to the Office of the Provost.

Sincerely,

Nathan Lindsay
Associate Provost for Dynamic Learning

APPROVED

Jim Caringi, Chair, School of Social Work
Reed Humphrey, Dean, College of Health Professions & Biomedical Sciences
Beverly Edmond, Interim Provost

Date

Office of the Provost and Vice President for Academic Affairs

I. INTRODUCTION
The purpose of this document is to describe the policies, procedures, and evaluative standards the School of Social Work will apply to evaluate faculty performance in the areas of teaching, research, and service. These standards comply with the University of Montana’s Collective Bargaining Agreement (CBA) and should be employed concurrently with the CBA to ensure that both standards are met. If discrepancies between the school’s standards and the CBA occur during the evaluation process, the CBA shall serve as the governing document.

II. UNIT PHILOSOPHY
The School of Social Work is committed to teaching and modeling the core values of the profession: social justice, service, dignity and worth of the person, importance of human relationships, integrity, and competence to ensure that graduates can effectively address the personal and social needs that impact the people they serve. Realization of this commitment calls for an organizational culture and climate that reflects these values. The faculty of the School of Social Work has collectively developed a set of core values to guide working relationships among faculty, with students, and with members of our diverse constituencies. These include: a climate of respect, consideration, and kindness; fidelity to school decisions, policies, and processes; relevance of teaching and learning to changing demands of practice; promotion of professionalism and rigor; reflexivity in teaching, research, and practice; and social responsibility. These values also frame the standards of excellence for faculty members’ diverse contributions to teaching, scholarship, and service.

Faculty members in the School of Social Work are expected to demonstrate a commitment to excellence in teaching, advising, and preparing students for professional practice. Similarly, faculty members are expected to contribute to the generation of knowledge that furthers the purpose of the profession. The school values diverse modes of scholarship and the active engagement of relevant stakeholders in the research process. As with scholarship, excellence in service furthers the purpose of the profession and the mission of the school. The faculty recognizes that the effectiveness of the school is dependent on the collective contributions of faculty and that the division of responsibilities for teaching, service, and research may vary among faculty members over time. In the spirit of cooperation and collegiality, the faculty is committed to equitable distribution of these responsibilities.
III. PROCEDURES FOR FACULTY EVALUATION

The procedures for evaluating faculty performance are directed by the Collective Bargaining Agreement (CBA), which establishes specific expectations for faculty performance and the procedures and timeline for evaluating performance. Tenure track faculty applying for tenure or promotion have their choice of standards if the standards have been changed since the time of hire. Faculty will follow the most recent unit standards for annual evaluations once those standards are approved. Current standards must be used when requesting a merit award unless a portion of the evaluation period occurred when an older set of standards was in place. During each evaluation period faculty are required to state their request for a normal salary increment, promotion, tenure, or merit award and designate the time period for the evaluation. Faculty are required to provide appropriate documentation to ensure that the Faculty Evaluation Committee (FEC), Chair, and Dean can accurately evaluate the requestor’s performance during the evaluation period. If the request, documentation, or time period is unclear additional documentation can be requested in writing during the FEC evaluation process allowing faculty members five working days to provide the information.

Individual Performance Record – October 15

Faculty members are required to submit a written record of performance to the FEC on or before October 15. Faculty rank and alphabetical listing will determine whether or not submissions are made annually, every other year, or once every three years. In accordance with the CBA, the Individual Performance Record (IPR) shall be sequentially numbered, provide references to exhibits, and signed on the final page by the author.

Documentation will be submitted for the following evaluation periods.
- Promotion: each year of service in current rank.
- Tenure: entire probationary period including credited prior service.
- Merit: time since last receiving merit or time since last promotion, whichever is less, or the most recent (7) sequential years.
- Normal and Less-than-Normal: the previous year, or since last evaluation for Associate Professors and Professors evaluated in alternate or every third year.

Student Evaluation Committee – October 15

The Student Evaluation Committee (SEC) must be appointed by the Chair by September 15 and shall consist of at least three but not more than seven currently enrolled social work students from the undergraduate and graduate programs. At the direction of the Chair, the SEC will prepare a written evaluation of each faculty member in the area of teaching. The report will be informed by numerical course rankings and major written comments included in faculty course evaluations. The written summaries shall be submitted to the school’s Administrative Assistant by October 15.
Faculty Evaluation Committee – November 15

In accordance with the CBA’s section 10.230, each year the faculty will elect a Faculty Evaluation Committee (FEC) that is composed of at least three tenured or tenure track faculty and one non-voting student member. Faculty selected for the FEC will elect a committee chair. If the FEC cannot select a Chair by majority vote, one will be appointed by the school’s Chair. The faculty will elect a substitute if a person elected to FEC cannot serve on the committee.

The FEC will review the performance of each faculty member in accordance with the School of Social Work Unit Standards and the CBA. Discussions that occur during the FEC evaluation process shall remain confidential and limited to members of the committee in accordance with the CBA. Upon completion of the review, a summative report will be written and signed by the FEC chair to endorse the committee’s recommendation. The FEC shall attempt to reach a consensus in reaching a final decision. In the event that a consensus cannot be reached, a majority vote will determine the final outcome and an explanation will be provided to describe any dissenting opinions. Arrangements will be made to ensure that those members who are not present during any proceedings have an opportunity to vote absentee. Whenever a merit award is requested, the FEC will indicate whether the faculty member seeking a merit award has performed at level of: outstanding, above normal, normal, or less-than-normal in teaching research, and service.

Faculty members can address the FEC in person regarding their evaluations and appeal a finding while following the procedures outlined in the CBA. In accordance with CBA 10.230, the faculty member may submit within ten (10) days a written appeal to the FEC regarding any aspect of the recommendation or process stating any concerns that the FEC is asked to review and stating the remedial action desired.

Chair Evaluation – December 15

The Chair is required to prepare a written evaluation for faculty required to participate in a performance review. The evaluation includes evidence submitted by the faculty member, the recommendations of the SEC and FEC, and additional evidence deemed relevant to the performance or advancement. The evaluation should specify areas that apply for faculty retention, salary increment, promotion, or tenure. Merit awards shall include a summary of performance and an indication of whether the criteria were met for outstanding, above normal, normal, or less-than-normal as defined in this document. The Chair will rank faculty who have applied for merit awards and prepare a written memo to the Dean specifying all recommendations. In accordance with CBA 10.240, the faculty member may submit within ten (10) days a written appeal to the chairperson regarding any aspect of the recommendation or process stating any concerns that the chair is asked to review and stating the remedial action desired.
IV. FACULTY ADVANCEMENT

A. Normal performance
The criteria for normal will be based on faculty performance in teaching, assigned teaching load, the depth and breadth of scholarship and research, and the quality and quantity of service provided.

The following categories describe the minimum expectations for performance at the level of normal. Normal qualifies as satisfactory performance and does not guarantee promotion, tenure, or a merit award. Guidelines for determining promotion, tenure and merit including outstanding and above normal performance are described in Section VI.

Teaching, Advising, & Supervision

Full-time faculty teaching loads are 14-16 credits per academic year and shall be equitably distributed by the Chair and Dean based on course type (research, practice, seminar), academic level (BSW, MSW), course size, and whether or not the course fulfills a UM general education requirement. Faculty that secure external funds or participate in activities that support the school’s mission, can request to reduce their credit load with approval from the Chair and Dean. Each of the following positions receives a credit load reduction in teaching at the amount listed.

- Practicum Director – two courses release each academic year (6-8 credits)
- BSW Director – one course release each academic year (3-4 credits)
- MSW Director – one course release each academic year (3-4 credits)
- Chair – two courses release each academic year (6-8 credits)

All student course evaluations must be included when submitting materials.

The following are examples of activities that contribute to normal performance in teaching, advising, and practicum supervision for tenured, tenure-track, and adjunct faculty members who hold a full time equivalent of .5 or greater.

Evidence of effectiveness in:

- teaching a range of core courses in the BSW or MSW curriculum
- developing new courses or revising existing courses in response to curricular and student needs
- Innovative curricular development (e.g., service learning, distance learning)
- supervising MSW portfolios
- guiding independent study or research projects
- academic advising
- supervising students in practicum across a range of agencies
- participating on thesis or dissertation committees
• student mentorship
• participating in professional development activities to enhance teaching
• guiding BSW and/or MSW students in research, seminars, and special projects

The following examples of evidence may be used to document normal performance in teaching, advising, and practicum supervision for tenured, tenure-track, and adjunct faculty members.

• Course evaluations from every course taught. Evaluations will be reviewed and summarized by the Student Evaluation Committee (SEC), and that summary will be provided to the faculty member for review and for inclusion in the IPR.
• Students’ written comments regarding courses. Faculty may opt to include a transcript of the written comments that accompany the course evaluations. If the faculty member elects to include the narrative comments, all comments for a given course must be included in the transcript
• Exhibits of course syllabi
• Exhibits of course assessments
• Exhibits of signature course assignments
• Honors or awards for teaching excellence
• Peer evaluations of elements such as classroom teaching or course materials
• Numbers of independent study or research students supervised
• Numbers of students that faculty serve as MSW advisor and portfolio chair
• Numbers of students for whom faculty serves as BSW advisor

Research & Scholarship

Tenure track, tenured, and research faculty are expected to make annual contributions in the areas of research and scholarship. Documentation or other evidence of contributions in the area of research and scholarship will include annual contributions in the following areas (include first page as documentation):

One or more of the following:
• Publication of articles in referred journals relevant to the field
• Publication of scholarly or applied professional books or monograph relevant to the field
• Publication of chapters in scholarly or applied professional books relevant to the field
• Authorship or co-authorship of competitively funded grants relevant to the field

Or, two or more of the following:
• Publication of professional reports based on research conducted for agencies or organizations addressing issues related to social work/justice/policy/change
• Documentation of peer-reviewed or invited presentations at professional conferences
• Documentation of presentations for local, state, national, or international organizations, conference, and events (non-juried)
• Successful generation of extramural funding
• Evidence of submitted, non-funded grants
• Editorial reviewer for scholarly or professional journals relevant to field (should include title of journal and number of articles reviewed in time period under evaluation)
• Published reviews of scholarly or professional books in professional journals
• Honors or awards received for publications or scholarly activities
• Production of non-print media for professional use relevant to the field (e.g. websites)
• Evidence of conducting successful organizational or community-based research, program evaluations, or policy analyses
• Dissemination of applied scholarship that demonstrates a clear scholarly contribution to the field and is substantiated through peer review

Service

Faculty members are expected to build and maintain professional and productive relationships within the school and with social service organizations whose cooperation is important to realization of the school’s mission. Service also entails assuming a fair and equitable quantity of the responsibilities necessary to the school’s satisfactory functioning.

Service at the level of normal performance shall include the activities described below:

School

The following two activities are required:
• Active participation in at least two assigned committees for the School of Social Work
• Active participation in the everyday operation and decision making of the school, including but not limited to participation in full faculty meetings and assigned committee meetings and completion of assigned tasks

And, at least one of the following is required:
• Active participation in leadership and administration of the school, including but not limited to service as Chair, BSW Director, MSW Director, and chair of major committees
• Active service on evaluation or accreditation teams
• Active participation in conducting program assessment or accreditation self-study activities and preparing required documentation

Campus

• Active participation in committees for the broader university as assigned

Professional Leadership (one or more of the following)

• Active member participation in local, state, national, or international professional organizations
• Holding office or board membership in local, state, national, or international professional organizations
• Leadership role in organization of professional conferences
• Pro bono professional consultation or training service to boards, state agencies, or community organizations
• Provision of expert testimony
• Pro bono mentoring or clinical supervision of professional social workers in preparation for licensure

Other

• Other public service that contributes to the mission of the school, university, and profession

B. Less-than-Normal Performance

The CBA indicates that a less-than-normal increment may be recommended for either the absence of any performance or poor performance of assigned responsibilities within the scope of employment. Tenure review shall be initiated when a tenured faculty member has received a less-than-normal salary increment for three successive years. A tenured faculty member shall undergo a performance review each year for three successive years following a less-than-normal recommendation.

Documentation and evidence submitted by the faculty member will conform to the CBA and this document will also be used by the FEC in consideration of retention and non-reappointment. Probationary tenure-track faculty should meet the standard for normal to be recommended for retention. The procedure used for making a recommendation concerning retention and non-reappointment will be the same as that provided in the CBA and this document for making recommendations concerning tenure, salary, and promotion.

Non-reappointment of a probationary faculty member shall be recommended when the FEC makes a judgment that the performance of the faculty member is unsatisfactory with respect to the standards applicable to his or her rank. Faculty members should consult the CBA for procedures relative to the evaluation process beyond the scope of this document and to determine the procedural requirements for appeals.

C. Promotion

Promotion to any rank depends on securing the academic qualifications and record appropriate to that rank. Criteria listed in the CBA (10.110.1) must have been successfully met along with the following:

Associate Professor
To be promoted to the rank of Associate Professor a faculty member shall demonstrate:

1. Competence in teaching/advising, research/scholarship, and service as evidenced by ratings of at least normal performance for all years, or evidence of professional development and growth immediately following any year(s) when normal expectations for performance in teaching, research, or service were not met as determined by the FEC.

2. Increasing professional recognition in the area of scholarship as evidenced by meeting the normal expectations and at least two (2) scholarly publications (refereed articles, scholarly or applied books or chapters).

3. Professional growth and an increasingly valuable contribution at the campus, local, state, regional, and/or national level.

Professor

To be promoted to the rank of Professor a faculty member must demonstrate:

1. Progressively valuable contributions as evidenced by annual ratings that demonstrate normal performance for all years, or evidence of professional development and growth immediately following any year(s) when normal expectations for performance in teaching, research, or service were not met as determined by the FEC. Note that consistent, normal performance during the evaluation period in teaching, research, and service is insufficient for promotion to full professor.

2. Professional recognition in the area of scholarship at the state, regional, and national levels. One scholarly product or activity per year is required with the addition of at least five (5) scholarly publications (refereed articles, scholarly or applied books or chapters) since being promoted to Associate Professor.

3. Professional growth and increasingly valuable contributions in leadership to the school through administrative assignments, committee chair representation and leadership in service at the local, state, regional, and/or national levels. A diverse array of scholarly and professional service activities is expected, with some areas of national recognition in evidence.

D. Tenure

Applications for tenure must be in accordance with the University of Montana Collective Bargaining Agreement (CBA 10.110.2 a & b) in effect at the time of application. To be considered for tenure the faculty member must demonstrate professional growth since the time of hire and continuous normal ratings or evidence of professional development and growth immediately following any year(s) when normal expectations for performance in teaching, research, or service were not met by the FEC in the three areas of teaching/advising/ supervision,
research and scholarship, and service. In the event that normal performance was not obtained any time during the evaluation period, clear evidence must be provided to indicate professional development and growth immediately following any year(s) when normal expectations for performance in teaching, research, or service were not met. Granting of tenure will also reflect the progress expected for being promoted to Professor and a judgment by the FEC that a faculty member has made significant contributions to the School of Social Work and will continue to do so. Note that consistent, normal performance during the evaluation period in teaching, research, and service is insufficient for tenure.

A faculty member must meet the criteria listed in the CBA and each of the following:

1. Demonstrated minimum of normal performance and at least one merit award nomination by the FEC, Chair, and Dean and consistency since time of hire in teaching, advising, and practicum supervision or evidence of professional development and growth immediately following any year(s) when normal expectations for performance in teaching, research, or service were not met as determined by the FEC. A faculty member should demonstrate the ability to incorporate innovative methods of teaching, training, and mentoring.

2. Produced at least three (3) scholarly works (refereed articles, scholarly or applied books or chapters) and given at least two (2) state, regional, or national presentations, with at least one of these being at the national level.

Consistent with the CBA and the school’s core values consideration for tenure will also be based on professional behavior and equitable participation in the unit’s and institution’s workload adhering to the principle that: “As a member of a faculty, each person is expected to relate in a professional manner with colleagues in the academic community. Similarly, each faculty member is expected to participate in the work of the unit and of the institution.” The applicant for tenure must also demonstrate a pattern of professional behavior that is consistent with the values and principles in the National Association of Social Workers (NASW) Code of Ethics.

Documentation of these accomplishments will include: 1) the Individual Performance Record (IPR) and 2) external review letters that support the candidate’s viability for tenure. The letters can be solicited from tenured faculty, clinical directors, and/or research faculty members at institutions outside UM. A list of potential reviewers will be developed by the applicant and FEC Chair with each producing five (5) possible names (10 total). A total of five (5) reviewers will be selected by the FEC Chair.

Finally, a faculty member considering application for tenure should consult the current CBA regarding “Eligibility for Tenure Application,” “The Tenure Application,” “Limitations on Tenure Awards,” Rights of Tenured Appointees,” “Failure to Attain Tenure,” and the sections that cover criteria, documentation, and procedure.

E. Merit Awards

Faculty members are eligible for a merit award by demonstrating outstanding performance in one or more of the areas of teaching/advising, scholarship, and service, and normal performance in
the other two areas or above normal performance in two of the areas and at least normal performance in the third. Faculty seeking merit awards must meet the criteria outlined in the CBA (10.110.3) and those specified within these unit standards for performance that is considered above normal or outstanding. It is incumbent on the applicant seeking a merit award to clearly document accomplishments that exceed the benchmarks outlined for normal and to describe how the accomplishments meet the criteria for above normal or outstanding.

Merit materials shall be submitted based on the years since the last merit or promotion. Receipt of a merit award does not imply that the requirements of promotion and tenure have been successfully met.

Merit Award Criteria for Above Normal or Outstanding

Eligible faculty members can apply for a merit award whenever performance is considered above normal performance in at least two (2) of the three (3) areas: teaching, research/creative activity, or public service, or normal performance in at least two (2) areas and outstanding performance in at least one (1) of these areas.

The following guide provides faculty a general set of recommendations for seeking a merit award. Faculty are encouraged to use these indicators or propose a similar set of benchmarks to substantiate a merit award.

Teaching, Advising, & Practicum Supervision

The following accomplishments can be used to support above normal or outstanding performance in teaching, advising, and practicum supervision.

- The majority of student evaluations are ranked as “excellent” and “very good”
- Peer evaluation, substantive materials, or innovative pedagogy that extend beyond normal teaching performance or responsibilities
- Recognition through teaching awards or honors
- Significant contributions that led to students producing published papers, posters, research reports, or related products
- Development and/or teaching of new courses
- Excellence in advising and practicum supervision as evidenced by student evaluations, awards, and/or outside documentation

Research & Scholarship

Activities in the areas of research and scholarship are defined in Section II (Faculty Advancement). Above normal or outstanding performance in these areas can include, but are not limited to:

- Publishing a scholarly or applied professional book in one’s discipline
- Publishing two or more scholarly articles in refereed journals in one’s field in a year
• Presenting two or more national scholarly presentations in one’s discipline in a year
• Publishing a scholarly article in a refereed journal and doing a scholarly presentation at the national level
• Obtaining extra-mural funding through a competitive grant process
• Receipt of award or commendations for scholarly activities

Service

Above normal or outstanding performance in service can be obtained by: 1) assuming leadership responsibilities within the school, college, or university and 2) through professional service to state, regional, or national professional organizations. Recognition of these accomplishments is evidenced by:
• Demonstrated excellence serving in a leadership role within the school’s administrative structure or on multiple committees or as chair with demonstrated outcomes
• Receipt of awards for professional service

V. NON-TENURABLE APPOINTMENTS

The performance of Faculty Affiliates, Lecturers, Adjunct Faculty (< 0.5 FTE), Clinical Faculty, and Visiting Faculty shall be evaluated annually by the FEC and Chair and be based on criteria in section A. Normal Performance: Teaching, Advising, and Supervision. Annual evaluations for Research Faculty will be based on criteria in section A. Normal Performance: Research and Scholarship.

The specific assignments for persons with non-tenurable appointments shall be recommended by the Chair and approved by the Dean. Such assignments shall be consistent with the mission and needs of the school. Assignments might include teaching, practicum supervision, advising, special projects, research, and service.

Those with non-tenurable appointments who are teaching a regular course shall comply with the University of Montana’s personnel policy by filing their class syllabi with the designated office.

Faculty Affiliates

Faculty affiliates are those individuals the school recognizes as making a contribution to either the instructional, research and creative works, or service components of the school.

Faculty affiliates may contribute to the school through practicum supervision, membership on the advisory committee, guest lecturing in classes, teaching occasional off-campus courses approved by and under the auspices of the School of Social Work and participation with faculty members who are conducting research and/or demonstration projects.

Adjunct Faculty (part-time (<.5 FTE), annually appointed)
A University of Montana employee may receive an appointment as an adjunct faculty within the School of Social Work if that individual is actively involved in providing ongoing and substantial instruction or ongoing significant involvement in teaching, supervising, advising, research, creative activity, or service activities within the school. Contributions may include responsibilities for instruction in at least one course per year, participation in research and demonstration projects, and service of central importance to the mission of the school.

Appointment shall be in accordance with The University of Montana personnel policy.

The Chair using standard school and university procedures shall evaluate those holding an adjunct appointment annually.

Probationary appointment and non-reappointments
The CBA (9.230) indicates that a probationary appointee has no right to reappointment, and a probationary appointment shall automatically expire at the end of the specified term in the absence of a written reappointment signed by the President. The President may request and review, but shall not be obligated to adhere to, recommendations from the unit, Dean, and the Provost regarding questions of renewal of probationary appointments.

In cases of non-reappointment for financial or programmatic considerations the probationary appointee will be so notified in writing. Written notice of non-renewal of a probationary appointment shall be mailed or given by the President or his/her designee at least four (4) months prior to the expiration of the first appointment, seven (7) months prior to the expiration of the second appointment, and twelve (12) months prior to the expirations of the third or later appointment.