

Guidelines Regarding the Relationship between Departments and Programs around faculty personnel policies and procedures

Subcommittee: Mike Czech, Job Dekker, Bob Finberg, Bob Matthews (Chair) and Zhiping Weng. Reviewed by Luanne Thorndyke, VPFA; approved by Dr. Terry Flotte.

Statement of Problem: There is a need to clarify the roles of the Department Chair and Program Director(s) in the academic personnel management of faculty hired by Programs but appointed in Departments.

Summary: Program Director(s) will take the primary responsibility for the activities related to hiring, mentoring, evaluation (completion of the annual performance review), and academic advancement of faculty hired into Programs. However, the Department Chairs should have input into these activities and retain their central role in academic affairs—specifically promotion and tenure decisions. Other issues, e.g., identifying the departmental affiliation, making teaching and service assignments and mentoring will be negotiated on an individual basis between Departments and Programs.

Recommendations for starting salaries and merit increases will be advanced by the Program Director(s), in consultation with the Vice Provost for Faculty Affairs and the Dean/Provost. Financial support for underfunded faculty or faculty whose research programs have failed will be the responsibility of the Programs that receive the RTFs associated with grants of that faculty member.

Specific Issues:

1. Recruitment and Hiring

Recommendations: The Program Director(s) will inform interested faculty in all departments about recruitment candidates, the timing of campus visits, and any opportunities for exposure (seminars, meetings, etc.), to generate an enthusiastic welcome for new recruits. It is recommended that Program Directors bring CVs of finalist recruits to Chairs Council for input and to identify a potential department for the faculty appointments.

2. Department Affiliation

Recommendations: All faculty recruits hired by Programs must have an academic home in a Department. The Program Director(s) should alert the Chair of potential departmental home for a faculty recruit before the candidate's second visit. The candidates should have an opportunity to meet with the Chair and Department faculty and, perhaps, present an informal "chalk talk" on their proposed research program. The Chair retains the right to offer an appointment

in their Department and to fulfill their responsibilities as Chair. The proposed Department for a faculty appointment as well as proposed rank (pending review and approval of the Department PAC, EC and Provost) should be stated within the letter of offer and co-signed by the Department Chair.

3. Teaching and Service Responsibilities

Recommendations: The teaching and service responsibilities will be negotiated between the Program Director(s) and the Department Chair. As the teaching and service responsibilities of both groups evolve, these responsibilities should be reassessed during the annual faculty performance review (APR) process or more frequently as necessary.

4. Annual Faculty Performance Reviews

Recommendations: The APR should be prepared by the Program Director(s). Before submission to the OFA, the Chair may submit a statement of her/his opinions about the performance of the faculty member over the past year. The OFA tracks completion of the APRs by the Program.

5. Mini-tenure Review

The purpose of the mini-tenure review is to provide a tenure track faculty candidate with substantive input regarding their academic progress in each mission area toward the award of tenure. The Department will conduct the mandated five year mini-tenure review, in consultation with the Program. The Director will survey Program faculty for input and submit information in written format to the Departmental Personnel Action Committee (DPAC) of the faculty candidate. In accordance with standard procedure, the DPAC will review the CV and input from Program faculty, and will write a letter of evaluation. For Program faculty members, the letter will be sent to both the Director and the Chair. In the event that the Director and the Chair agree on their individual evaluation of the candidate, the Director will write a joint letter that they both sign. If the Director and the Chair disagree on their evaluations, each will write an independent letter and forward to the Office of Faculty Affairs. The Director and Chair will meet with the faculty member, either together or separately, to review the results and suggestions for future effort.

6. Promotion and Tenure

Recommendations: The decision whether to proceed with a recommendation for promotion and/or tenure should be discussed by the Director and the Chair prior to the initiation of either process. If both agree to move forward, the Chair is responsible for assembling the package. The completed package, including letters of recommendation, should be reviewed by the Program faculty and their evaluation submitted to the Director and the Departmental PAC. The DPAC reviews the package and sends a letter of recommendation to the Director and the Chair. In the event that the Director and the Chair agree with the DPAC recommendation, the Director writes a joint recommendation letter that they both sign. If the Director and the Chair disagree on the DPAC recommendation, each will send independent letters to the Dean with a copy to the Vice Provost for Faculty Affairs. The Chair will inform the faculty member of the status of the review process, as required by the APP.

7. Salary Responsibility

Recommendation: The Program Director will recommend merit or other proposed salary increases to the OFA. The Program is responsible for all salary/funding matters related to faculty within the Program, including (but not limited to) determination of the initial salary at hire, merit, equity, promotion and tenure increases. The Program is responsible for any shortfalls in salary. Financial guarantees specific to tenured faculty remain the obligation of the Program.

8. Mentoring

Recommendation: The Program is responsible for mentoring their faculty. However, it is optimal to involve a senior faculty member from the Department in the mentoring process to ensure departmental participation in the development of the junior faculty member.