

## ACADEMIC AFFAIRS OPERATING GUIDELINES

The University of New Haven  
Latest Revision—April 30, 2012  
August 27, 2012

### I. Operational Guidelines Applying to Faculty Appointments and Assignments

The *Academic Affairs Operating Guidelines* and the *Provost's Compensation Guidelines* are documents published annually by the Provost and Vice President for Academic Affairs to provide guidance in the application of the policies and procedures established in the *Faculty Handbook*. If an operational or compensation guideline were to be determined to be in conflict with the *Faculty Handbook*, the *Faculty Handbook* statement will prevail. The provost shall consult with the Faculty Affairs Committee in developing and revising the *Provost's Compensation Guidelines* and the *Academic Affairs Operating Guidelines* prior to implementation.

Revision to Sections I and III of the Academic Affairs Operating Guidelines will be made only after consultation with the Faculty Affairs Committee. Revision to Section II of the guidelines will require review and agreement with the faculty through the Faculty Affairs Committee. (*FAC Review—March 4, 2009; Approved by Provost—March 4, 2009*)

- A. Faculty Orientation**—The provost shall organize a faculty orientation meeting that will include discussing the obligations and responsibilities for newly hired faculty at the beginning of each academic year.
- B. Faculty Assignments and Scheduling**
1. The department chair shall meet with each faculty member to discuss assigned courses and teaching times prior to completion of the next term's schedule. The number of courses and the number of preparations shall be taken into account in developing the teaching schedule of faculty members; however, the overriding factor will be meeting the curricular needs of students.
  2. Seniority and rank will be taken into account for teaching assignments; however, they will not mandate assignments, which may be influenced by other factors.
  3. Faculty may be assigned to off-campus teaching in Connecticut off-campus locations within the greater New Haven area. Assignment to teaching in off-campus sites outside the greater New Haven area requires the approval of the faculty member prior to assignment.
  4. Generally, department chairs and deans should avoid scheduling individual faculty members to teach the morning after a late-night class, or to teach beyond a 10-hour period of time in any one day. Teaching on weekends requires agreement by the faculty member.
  5. Guidelines governing pro rata teaching credits or payment levels are detailed in the *Provost's Compensation Guidelines*.
  6. The department chair shall notify a faculty member in a timely manner if an unexpected change in his or her teaching schedule becomes necessary. The department chair shall try to develop an alternative accommodating teaching schedule to the extent possible; however, the need to meet student demand takes precedence.
  7. All faculty will be available for out-of-class interaction with students and faculty colleagues at least through spring commencement or through the end of the spring trimester if they are teaching during that term.
  8. The opportunity for university assigned time for instructional and curricular development, research support, and administrative coordination and direction should be allocated among the colleges in a fair and equitable manner.
- C. Office Hours**—Faculty members will generally hold a minimum of two office hours per week for every three credits assigned to teaching during the period of time the individual's courses are taught with a minimum of four hours per week plus additional availability by appointment. In addition, faculty members will generally hold a minimum of two office hours per week for every three credits assigned to program coordination during the time the coordination activities are performed. Generally, full-time faculty office hours will be distributed across the week on at least three days per week, which may be adjusted by the chair as appropriate. In addition, faculty will meet with students out of class on an appointment basis when necessary. The office-hour requirement can be modified by the chair with disclosure to the dean to take into account multiple course

schedules (undergraduate traditional; undergraduate accelerated; graduate trimester; trimester cohort, on and off campus; weekend courses; and online).

**D. Resources to Support Faculty Activities**

1. Faculty reimbursement for travel expenses to off-campus facilities, faculty payments for credit examinations, independent studies, theses, etc; and remuneration and incentives for teaching special programs shall be governed by the *Provost's Compensation Guidelines*.
2. The university will provide faculty with appropriate resources to carry out their responsibilities (e.g., office, office furniture and equipment, laboratory facilities, library access for necessary publications, and appropriate administrative support).
3. For faculty members with grants or contracts undertaken at UNH, university contributions to the faculty member's 403.b retirement accounts will be remitted based on the faculty member's academic year appointment base salary.

**E. Potential Conflicts of Interest**—The conflict-of-interest policy should not prevent a faculty member from undertaking consulting and other non-conflicting professional activities during non-teaching periods during the academic year. The undertaking of any outside employment activity should not interfere with any of a faculty member's contractual obligations or with his or her meeting faculty responsibilities in a satisfactory manner as set forth elsewhere in the *Faculty Handbook*. Any potential conflicts of interest should be disclosed to the chair and dean. (*FAC Review--March 18, 2009; Approved by Provost—March 18, 2009.*)

**F. Administrators With Tenure Returning to a Faculty Assignment**—Administrators with faculty rank and tenure may return to a department consistent with their tenure upon completion of their administrative appointment. When a faculty member with an administrative appointment returns to the faculty, he or she returns to his or her nine-month base salary, normally allowing for any salary-adjustment increases that the individual may have received as a full-time teaching faculty member during his or her service as an administrator. There is no guarantee of a sabbatical leave for having served in an administrative position although the returning administrator may receive assigned time for a specified period of time not to exceed one year to assist in his or her preparation for a return to full-time faculty service.

**G. Phasing In of the Criteria for Tenure and Promotion**

1. Criteria identified in the 2007-08 version of the *Faculty Handbook* will take effect for faculty hired to begin Fall 2007. Consistent with 2.1.12.b., faculty members hired prior to Fall 2007 have "the right to be evaluated according to elaborations (criteria) in effect when he or she was hired or to which the faculty member has subsequently agreed."
2. The application process and calendar identified in this handbook take effect in 2007-08.

**H. Course Cancellations**

1. Generally, undergraduate courses that have fewer than 10 students enrolled by five days prior to the first day of classes may be cancelled. College deans hold the authority to make these decisions in consultation with the department chair. The faculty member will be notified as soon as possible and his or her teaching assignments adjusted accordingly.
2. Generally, graduate courses with fewer than 6 students enrolled by five days prior to the first day of classes may be cancelled. College deans hold the authority to make these decisions in consultation with the department chair.
3. Credits assigned and/or payment made for low-enrolled classes will be guided by the *Provost's Compensation Guidelines*.

**I. Faculty Salary Letters**—Faculty salary letters should be sent to each full-time faculty member by August 1. If letters cannot be sent by that date, the chair of the Faculty Senate shall be notified prior to August 1, provided an explanation of the reason for the delay, and provided a projected date by which the letters will be sent.

**J. Sabbatical Leaves and Extraordinary University Support**—Sabbatical leaves designed to provide focused time for a faculty member to produce or complete academic works are normally not considered as extraordinary university support.

- K. Disclosures of Potential Extraordinary Support**—Extraordinary university resources and support other than sabbatical leaves shall be governed by Section 2.4.9 of the Faculty Handbook. The potential applicability of 2.4.9 shall be disclosed to faculty members as part of the award of such support.
- L. Guidelines for Intellectual Property Policy Disclosure Process Review.** The provost and the University Intellectual Property Advisory Committee will periodically review and determine if the disclosure requirement is an undue reporting burden. For example, the review would consider the degree to which cost and attorney fees to determine uniqueness of invention/patent and to determine if disclosure is required represents a substantial cost.
- M. Rules and Procedures for College-Level Investigative Committees on Potential Research Misconduct and Academic Dishonesty.** The provost will develop, publish, and maintain the operating rules and procedures for the College-Level Investigative Committees on Potential Research Misconduct and Academic Dishonesty consistent with 2.4.11 and 4.4.5.
- N. Definition of “Fully Satisfactory.”** Regarding 2.13.1 of the Faculty Handbook, the term, “fully satisfactory,” requires specific evidence of positive performance outcomes in each specified area. (*FAC Review—March 26, 2008; Approved by Provost—March 26, 2008*)
- O. Guidelines for Determining a Faculty Member’s Academic Discipline for Use in the Faculty Benchmark Process**—The designation of the academic discipline to which a faculty member’s benchmark comparison is made is normally determined at the point of hire based on the academic qualifications of the individual faculty member. In addition, the dean may also consider the academic scholarly and/or professional qualifications of the individual. These determinations are initially made by the hiring dean.

In subsequent years, if an individual faculty member proposes a different discipline group for benchmark comparison, he or she must demonstrate (a) that a majority of teaching credits taught over the prior three academic years are appropriate to the new discipline group and either (b) that majority of scholarly works over the prior three academic years are in publications, conference, or other scholarly outlets, or (c) that the individual is a regular contributor to professional organizations in the alternate academic discipline. This request is initially made to the college dean who forwards his or her recommendation for or against to the provost. The provost will consult with the Faculty Affairs Committee prior to making the change as per the *Faculty Handbook*.

The following elements are factors that may be considered in making the determination of the appropriate academic discipline groupings and assignments for UNH full-time faculty:

- The list of disciplines reported by the College and University Personnel Association (CUPA) for average salaries by discipline and rank.
- The degree to which the discipline chosen is representative of the discipline and statistically valid
- The academic qualifications of the individual faculty member.
- The courses taught by the individual faculty members in the set being considered.
- The scholarly record of the individual faculty member

The contributions the individual may be making as a member of professional organizations in a particular academic discipline. (*FAC Review—April 1, 2009; Approved by Provost—April 1, 2009*)

- P. Non-Renewal of FTNTT Faculty in Their Seventh or Subsequent Consecutive Appointment**—Full-time non-tenure track faculty members who are in their seventh or subsequent consecutive year of appointment as full-time non-tenure track faculty who receive by January 1 notice of non-renewal of their appointments for the subsequent academic year may request that the provost form an ad hoc faculty committee that will afford an adjudicative hearing of record. The committee will consist of five faculty members—three members by virtue of their elected roles as the Chairs of (a) the Faculty Affairs Committee, (b) the Grievance Committee, and (c) the University Tenure and Promotion Committee. The fourth member shall be (d) a tenured faculty member selected by the faculty member requesting the review, and the fifth member shall be (e) a tenured faculty member selected by the dean. The ad hoc committee will review the elements of the decision of non-renewal and will specify that in its judgment, the primary reason is based on financial, programmatic, or performance-

related elements. If performance related, the ad hoc committee may issue a recommendation to the provost regarding the non-renewal decision. Such a request by the full-time non-tenure track faculty member must be in writing and must be received by the Office of the Provost no later than January 30. The provost will render his or her decision within 30 days of the receipt of the recommendation. (*FAC Review—May 27, 2009; Approved by Provost—May 27, 2009*)

## II. Agreements Between the Provost and the Faculty

Revision of the following elements will require review and agreement by the Faculty Affairs Committee and approval by the provost. Normally, the Faculty Affairs Committee will seek approval in the form of a majority vote of the tenured and tenure-track faculty prior to completing an agreement to revise any provision of Section II.

### A. Teaching Credits

1. Tenured and tenure-track faculty members have a maximum teaching-credit load obligation of 24 credits per academic year.
2. Full-time, non-tenure-track faculty members' teaching loads are defined in Part Three of the *Faculty Handbook*.
3. Graduate courses carrying 3 student credit hours are counted as 4 teaching credits toward a faculty member's credit obligation.
4. Undergraduate courses carrying 3 student credit hours are counted as 3 teaching credits toward a faculty member's credit obligation.
5. Laboratory, studio, and supervision courses carry varying numbers of teaching credits toward a faculty member's credit obligation.

### B. Benchmark Target Salary—The following elements will govern the determination of the benchmark target salaries as part of the application of the Performance-Based Faculty Salary Policy in Section 2.13 of the *Faculty Handbook*. Revision of the benchmark target salary process below requires review and agreement by the Faculty Affairs Committee.

1. The base salary amount for the faculty member by discipline and rank is determined by adjusting the benchmark market target salary for the step system.
2. Step System – each rank shall have six steps (one step per year in rank) except for discipline ranks whose benchmark market targets are above \$100,000. Discipline ranks with benchmark market targets above \$100,000 shall have five steps but calculated as if there were six steps (i.e. each step is 5/6<sup>th</sup> of the difference between ranks)
3. The value of the step for each discipline and rank and faculty classification shall be calculated and applied as follows:
  - a. **Full-Time Non-Tenure-Track Faculty**—Step values for each discipline are calculated by dividing the difference between the FTNTT faculty member's benchmark market target salary for the discipline and the Assistant Professor's benchmark market target salary by six except when the benchmark market target salary for the discipline and rank is above \$100,000. Discipline ranks with benchmark market targets above \$100,000 shall have five steps but calculated as if there were six steps.
  - b. **Assistant Professor** Step value for each discipline are calculated by dividing the difference between the Associate Professor's benchmark market target salary for the discipline and the Assistant Professor's benchmark market target salary by six except when the benchmark market target salary for the discipline and rank is above \$100,000. Discipline ranks with benchmark market targets above \$100,000 shall have five steps but calculated as if there were six steps.
  - c. **Associate Professor** Step value for each discipline is calculated by dividing the difference between the Full Professor's benchmark market target salary for the discipline and the Associate Professor's benchmark market target salary by six except when the benchmark market target salary for the discipline's rank is above \$100,000. Discipline ranks with benchmark market targets above \$100,000 shall have five steps but calculated as if there were six steps.
  - d. **Professor** Step value for each discipline are calculated by dividing the difference between the Associate Professor's benchmark market target salary for the discipline and the Professor's benchmark market target salary by six except when the benchmark market target salary for the discipline's rank is

above \$100,000. Discipline ranks with benchmark market targets above \$100,000 shall have five steps but calculated as if there were six steps.

- e. The Provost shall annually notify and discuss the reasons for salaries higher than the salary policy target with the Faculty Affairs committee. The incremental cost of the above target salary provided to a faculty member shall be separately funded (i.e. not funded from benchmark adjustment funds).

### C. Salary Adjustment for Promotion

1. A faculty member who is promoted in rank from Assistant Professor to Associate shall have his or her salary increased by the higher of \$2,500 or 25% of the difference between ranks.
2. A faculty member who is promoted in rank from Associate Professor to Professor shall have his or her salary increased by the higher of \$3,500 or 25% of the difference between ranks.
3. Additional salary increases for promotion in rank shall be addressed by the benchmark adjustment process.
4. Salary adjustments based on promotion in rank are applied before benchmarking adjustments.

### D. Minimum Benchmark Market Target Salary

1. **Minimum Benchmark Target Salaries**—If the minimum benchmark market target salary for any rank and discipline falls below the following salary levels, the salary level that follows will serve as the minimum benchmark target salary: Lecturer - \$42,000; Assistant Professor - \$54,000; Associate Professor - \$63,000; and Professor \$72,000.
2. **Review of Minimum Benchmark Salaries**—The Provost and the Faculty Affairs Committee will annually review the minimum benchmark market salaries to determine if they are still appropriate. They will periodically make a recommendation to the president to adjust the minimum benchmark market salaries. The minimum benchmark market salary for a rank shall change if the President accepts the recommendation.

### E. Merit-Based Salary Increases

—Revision of the merit-based salary process below requires review and agreement by the Faculty Affairs Committee.

1. **Eligibility Restrictions**—Merit-based salary increases may be applied to full-time faculty based on the results of the annual faculty review process. The evaluation of performance shall be conducted within the context of each full-time faculty member's individual assignment during the period of review.
2. **Process:**
  - a. A self-nominating faculty member, chair or dean will prepare a brief report that will be used for determining a faculty member's merit performance award. Performance awards for meritorious activity in one or more areas are appropriate as long as the faculty member satisfactorily performs in all areas as per the annual faculty performance review. The self-nomination or the chair's nomination must be forwarded to the dean by September 15\* of the following academic year being reviewed for meritorious activity.
  - b. The dean and the chairs of the college's departments shall meet and will review the reports for each of the nominees for a merit performance award. The dean will use the reports and the meeting with the chairs to determine whether a faculty member shall be recommended for a merit performance award. The dean will evaluate the faculty member's performance in four areas: teaching, program and course development, scholarly and professional activities, and university/community service. A maximum of 30 percent of a college's full-time faculty may be recommended by the dean for a merit performance award each year.
  - c. The dean will notify in writing each self-nominating or chair-nominated faculty member if the nominated faculty member was or was not recommended for a merit performance award by October 15. A written explanation must be included if a merit performance award was not recommended. A faculty member may request a meeting with the dean to discuss his or her performance and the dean's evaluation by October 31. This process should be completed by November 15.
  - d. The dean shall forward his or her recommendations for merit performance awards to the provost for a final review no later than November 15. Faculty members who were denied by the dean may also forward their applications for a merit performance award to the provost for appeal and review. The provost shall either confirm or reject the dean's recommendations as well as a faculty member's merit performance award appeal. If the provost rejects a dean's recommended merit performance award to a faculty member or a faculty member's merit performance award appeal, then the provost shall notify the faculty member and dean in writing the reason for the rejection. The dean and/or faculty member

- can request a meeting with the provost regarding the rejection. The provost after meeting with the dean or faculty member shall confirm or change his or her prior decision. There is no appeal except to the grievance committee only if there is a question of whether due process has been followed.
- e. Considering the criteria applied at the department and college levels, the provost shall apply consistent university criteria to his or her recommendations and shall forward names of no more than 35 percent of the full-time faculty members in his or her recommendation for faculty merit performance awards to the president. The president shall review and select the faculty members to receive merit performance awards. The president shall notify in writing by January 15 any faculty member who the provost recommended for a merit performance award why the recommendation was rejected.
  - f. Merit awards paid as bonuses will be paid in a single lump-sum payment. Merit awards applied as increases to faculty base pay will be implemented as soon as possible following the president's decision with a separate retroactive payment of the increase as of the prior September 1.
- \*Note: Defined dates may be modified by mutual agreement of the provost and the Faculty Affairs Committee.

- F. Clarification of 2.13.1, Sentence 3**—Sentence 3 of 2.13.1 states the following: “A faculty member found to have performed in a fully satisfactory manner shall receive a salary increase as described in the salary benchmark adjustment plan.” The salary benchmark adjustment plan shall be applied in the following manner:

Each faculty member whose overall performance is satisfactory or fully satisfactory at the end of the evaluation process will receive a cost-of-living increase. In addition, each of these faculty members will receive ½ of the designated benchmark salary increase for ‘fully satisfactory’ performance in the category of teaching duties and/or ¼ of the designated benchmark salary increase for ‘fully satisfactory’ performance in each of the categories of (b) service activities and/or (c) scholarly activities. Expectations in each of these categories are defined in AAOG, Section III and are modified as appropriate by the individual's defined goals for the performance period under review. For faculty with a declared teaching focus, performance in maintaining and improving his or her knowledge of the academic field will substitute for scholarly activities. (*Referred by FAC to Faculty Senate, Approved by the General Faculty by vote on March 30, 2009. Approved by FAC and provost on April 1, 2009.*)

## G. Annual Faculty Activities Report Procedures

**Step 1**--Each full-time faculty member prepares and files a faculty activities report with the chair by January 31, unless otherwise extended with authorization by the dean. The faculty activities report describes the faculty member's activities from January 1 through December 31 of the prior year.

~~The department or division chair shall meet with the faculty member to discuss the report not later than March 7, unless otherwise extended with authorization by the dean.~~

The report shall include a review of the past year's activities, **plan of activities** ~~plans~~ for the next performance review period, and **proposed** goals for teaching, research and/or creative activity, and service.

Faculty members' written self-assessments include areas of teaching, service, and scholarly activities. ~~Faculty members rate themselves on whether they performed in a fully satisfactory, satisfactory, or unsatisfactory manner for each area.~~

**Step 2**—The department or division chair prepares a written assessment of each faculty member's **activities and achievements**. (Note: This assessment will result in one of three conclusions—fully satisfactory, satisfactory, or unsatisfactory. The criteria for each of these categories are described in Sections 2.13.1.a, 2.13.1.b, and 2.13.1.c of the *Faculty Handbook*.) For faculty holding formally designated joint appointments in two or more departments or divisions, the chair of each of the divisions will jointly perform this step in the process unless otherwise specified in accordance with the joint appointment assignment. **The chair will provide a copy of the written assessment to the faculty member at least two working days prior to their meeting to discuss the assessment.**

**Step 3**—The department or division chair shall meet with the faculty member **not later than March 7, unless otherwise extended with authorization by the dean.** At the meeting, the department or division chair and faculty

member ~~to~~ will discuss the written assessments, plans for activities, and proposed goals ~~and plans~~ for the next performance review period. ~~Plans for the next performance review period will include remedies to correct any deficiencies if a faculty member is judged not to have met his or her obligations. The remediation plan shall include an explicit progress timeline that addresses the deficiencies. It should include what is expected to be achieved within one year and what is expected to be achieved at the end of two years.~~ At this point, the chair may revise the initial evaluation if appropriate.

Following the meeting, the faculty member is provided with ~~one week~~ **two weeks** to prepare a written rebuttal if he or she wishes. Rebuttals serve as the faculty members' opportunity to address differences from the chair's evaluations. Because rebuttal statements serve as a statement and not as part of a back-and-forth dialog with the chair, the rebuttal statement is attached to the chair's evaluation prior to the entire package—FAR, chair's evaluation, and rebuttal (if any) being forwarded to the dean.

**Step 4**—~~The reports~~ report and rebuttal (if applicable) will be sent by the chair to the dean no later than March ~~15~~ **22**.

**Step 5**—If the dean objects to the conclusions of the report (see Section 2.11.3 of the *Faculty Handbook*), he or she will specify objections in writing to the chair and faculty member by April ~~15~~ **22**. If requested by any of the three parties, the dean ~~will~~ must meet with the faculty member and/or the chair by May ~~4~~ **8** to discuss the issues. The faculty member has two weeks following the meeting or May 22 at the latest to provide a rebuttal statement to be attached to the file. If the faculty member wishes to appeal to the provost, such appeal must arrive in the Office of the Provost no later than June 1. The provost will complete the appeal process by July 1.

**Remediation Plans**—With each unsatisfactory review, a remediation plan will be ~~confirmed or developed by the dean with the faculty member under review in consultation with the chair no later than May 15~~ established. As soon as the final determination is made regarding an overall conclusion of "unsatisfactory," a remediation plan will be developed. The chair will prepare a draft remediation plan to be discussed in a meeting among the chair, faculty member, and dean.

The remediation plan shall include an explicit progress timeline that addresses the deficiencies. It should include what is expected to be achieved within one year and if necessary what is expected to be achieved at the end of two years. The remediation plan shall include the name of the faculty member undergoing remediation, the names of the chair and dean, and the evaluation period that generated the plan. In addition, for each performance element that requires remediation, the plan shall present (a) a description of the performance element, (b) a description of the actions to be taken by the faculty member, (c) identification of the measurement(s) or action(s) that will verify that remediation has occurred, and (d) the expected timeline within which the remediation is to occur. The timeline may extend up to two years if appropriate. Regardless of the timeline, the annual performance-evaluation process will occur as scheduled for all full-time faculty members, though the faculty member may choose to include a copy of the remediation plan in the faculty activity report of the subsequent year if the plan extends beyond the evaluation period for that faculty activity report.

The final remediation plan ~~report~~ shall be forwarded to the Provost ~~if~~ by August 15. If agreement cannot be reached among the parties, (a) the initial plan proposed by the dean (b) the revisions proposed by the faculty member and/or dean, and (c) any additional input any of the three parties wishes to provide will be forwarded to the provost by August 15. ~~The~~ the provost will make the final determination regarding the remediation plan by August ~~1~~ **31**.

The remediation plan will be coordinated with the goals of the Faculty Activity Report for the performance periods that are covered by both the remediation plan and FAR. If the faculty member meets the performance benchmarks in the remediation timeline, then the performance reported in the FAR in that specific performance area should be determined to be at least satisfactory.

The establishment of mutual goals and direction for the subsequent year may occur during the evaluation period or immediately following the evaluation process, depending on established college policy.

- H. Approved Forms to be Submitted for Faculty Activities Report**—The Provost and the Faculty Affairs Committee shall determine which forms are acceptable for submission by faculty to satisfy the annual activities report requirements of the *Faculty Handbook*. . (Blue-text addition approved by vot of the General Faculty on March 1, 2012. Red-text revisions approved by vote of the Genral Faculty on May 5, 2012. Approved by the Provost on may 14, 2012 with the revised process applied initially to the performance period April 16, 2012, through December 31, 2012. Subsequent performance periods will be based on the calendar year.)

### **III. Guidelines for the Preparation of the Six Areas of Performance Required for an Overall Conclusion of “Fully Satisfactory”**

The Faculty Annual Review (FAR) process is conducted by department chairs and is entirely separate from the tenure and promotion process. The FAR process is driven by the *Faculty Handbook* requirements and the goals agreed to by the faculty member in his or her previous year’s FAR process (or at the time of hiring, for first-year faculty). A role of the dean in this process is to assure that it is properly administered and is consistent with the requirements of university governance documents.

In general, it is important that procedures be standardized and consistent from year to year. In order to assure this, chairs and deans should receive appropriate training in both the FAR process and in applicable personnel management practices. Communication and collegiality are crucial to realizing successful FAR outcomes. (Approved by FAC—April 2, 2012; approved by the provost—April 2, 2012)

This document provides guidance to faculty, chairs, and deans in the preparation and evaluation of the faculty activity report as part of the annual faculty review process that will be conducted each spring. The guidelines were initially developed by the Transition Committee (J. Allen, C. Barratt, D. Dauwalder, M. Gaboury, R. Rainish, M. Roller, and M. Rossi) as part of its defined role with the additional input of Deans B. Farbrother and R. Highfield as requested by President Kaplan. These guidelines are the result of review, discussion, and analysis of the initial evaluation process and the various issues that emerged from that process. They have been modified further by the Faculty Affairs Committee in collaboration with the provost. The general expectation is that these guidelines will be implemented in a collegial manner.

To achieve a final conclusion of “fully satisfactory,” as described in Section 2.13.1 of the *Faculty Handbook*, in the process conducted each spring, faculty are encouraged to present their goals for the year under review and to present evidence of positive performance outcomes in the applicable areas following the guidance provided in this document and the *Faculty Handbook* in Section 2.11.4.a, b, and c.

- A. Importance of Goals in the Year Under Review**—The prior year’s faculty activity report requires each faculty member to identify a set of short-term goals for the subsequent year in teaching, service, and scholarship. These goals provide the opportunity for each faculty member with the concurrence of his or her department chair and dean to define more specifically the performance expectations for the year to be evaluated. They may be used to clarify the varying degrees of emphasis in each performance category for the year and to reflect the varying degrees of support that may be provided in terms of assigned time for research, for service to the department or profession, and/or for instructional development.

The goals are proposed in the spring by the faculty member on the faculty activity report. They are reviewed and modified as appropriate by both the department chair and faculty member as part of the chair’s evaluation of the faculty member’s performance. The goals are also reviewed by the dean. This confirmation process is described in Section 2.11.1.i of the *Faculty Handbook*. If circumstances change during the year, an individual’s goals may be modified during the year by mutual agreement.

The following sections present the general expectations and presentation guidelines for each of the six performance areas described in Section 2.13.1 of the *Faculty Handbook*. The “General Expectations” sections of Sections III.B through III.F of the *Academic Affairs Operating Guidelines* serve as the default level of performance required of each full-time faculty member unless modified by the individual’s established goals.

The presentation guidelines for Teaching Activities, Service Activities, and Scholarly Activities provide examples of a wide range of elements that could be reported. No faculty members are expected to accomplish nor report activities in all items in the presentation guidelines of these three sections.

The presentation guidelines for Section E—Maintenance and Improvement of Knowledge of the Academic Field—describes how to report activities in this area. The presentation guidelines in Section F—Required Faculty Responsibilities—list 13 required responsibilities and describe a singular method of confirming compliance.

## B. Teaching Activities

1. **General Expectations**—In addition to providing (a) copies of student evaluations, faculty members are encouraged to provide (b) a paragraph that describes their teaching philosophy or approach with a paragraph that reflects on their teaching performance through the review period, and (c) two or three additional elements of evidence. The overall extent of expectations may be modified by the individual’s annual goals.
2. **Presentation Guidelines**—The following bullets describe how each element could be presented to provide evidence of outcomes.
  - a. **Student Evaluations**
    - **Student Evaluations of Instruction**—Section 2.11.4.a of the *Faculty Handbook* makes mandatory that each faculty member report “Effective teaching as demonstrated by results on a faculty-approved student instructor/course evaluation form.” Along with reporting the results, identify in a paragraph what you learned from their review and how you have applied what you’ve learned to improving your courses.
  - b. **Teaching Philosophy/Approach and Reflection**
    - **Teaching Philosophy or Approach to Teaching**—Describe in a paragraph or two your general approach to teaching—or your teaching philosophy. Identify your general goal in teaching, the processes you employ to achieve the goal, and the degree to which you are successful.
    - **Reflection**—Reflect on what went well, what could have been better, and what you may do differently next year. Note: The University of New Haven supports a broad range of teaching philosophies and approaches. The key here is to reflect on its effectiveness.
  - c. **Additional Elements**—Provide two or three additional pieces of evidence that reflect your teaching efforts. Consider including some of the following. Others are listed in Section 2.11.4.a of the *Faculty Handbook*.
    - **Course Syllabi**—With copies of course syllabi, provide a description of how your syllabus reflects your teaching philosophy, your approach to teaching, or is designed to help students achieve the specified learning outcomes.
    - **Sample Exams and/or Sample Assignments**—Identify how sample exams and/or assignments provide opportunities for students to apply their knowledge rather than just recite facts. Describe and/or demonstrate how they help student achieve the specified learning outcomes.
    - **Teaching Methods**—Describe the teaching methods you employ, their relationship to your teaching philosophy, and the degree to which these methods help your students learn.
    - **Course-Based Assessments**—Describe how you go about assessing the ability for your students to know and to do what is described in your list of course-based learning outcomes.
    - **Program-Based Assessments**—Describe how you go about assessing the ability of your students to achieve the identified program-based learning outcomes.
    - **Classroom Visitations**—Invite a faculty colleague to visit your class, observe your teaching, and provide a written assessment or summary of the visitation.
    - **Involvement with Experiential Learning Activities**—Describe how you involve students in internships, academic service learning, or research activities. Identify the goals in their participation and the outcomes of their efforts.
    - **Other Elements**—Describe your activities and outcomes related to any of the additional “Teaching Activity Criteria Examples listed in Section 2.11.4.a of the *Faculty Handbook*.”

- C. **Service Activities**—The general category of service activities is divided into two sections: (a) Service through university, disciplinary, professional, community, and student-life activities and committees and (b)

Participation in your discipline's program activities. Please recognize that some overlap may exist between these two subcategories and in certain cases with teaching and scholarly activities. The extent of expectation may be modified by the individual's annual goals. Please note that the *Faculty Handbook* identifies "Service Activity Criteria Examples" in Section 2.11.4.b, which are consistent with the descriptions below.

**1. Service Through University, Disciplinary, Professional, Community, & Student Life Activities and Committees:**

- a. General Expectation**—Multiple activities at multiple levels, as indicated below, with specification of individual contributions and/or outcomes are expected of each faculty member. Individual faculty members are not expected to perform nor report activities in all of the bulleted categories under "Presentation Guidelines." Each faculty member is expected to report on his or her contributions in at least two or three different activities. The extent of expectation may be modified by the individual's annual goals.
- b. Presentation Guidelines**—To report successfully involvement in service activities, (a) specify service activities and (b) identify personal contributions toward the achievement of the goals of each activity. Consider involvement with the following:
- **University-Level Committees or Activities**—Specify the committee or activity; identify your individual contribution to the outcomes.
  - **College-Level Committees or Activities**—Specify the committee or activity; identify your individual contribution to the outcomes.
  - **Department-Level Committees or Activities**—Specify the committee or activity; identify your individual contribution to the outcomes.
  - **Disciplinary Committees or Activities**—Specify the committee or activity; identify your individual contribution to the outcomes.
  - **Statewide, Regional, and or National Professional Organizations**—Specify the committee or activity; identify your individual contribution to the outcomes.
  - **Student Life Activities, Including Student Clubs & Organizations**—Specify the committee or activity; identify your individual contribution to the outcomes.
  - **Community & Other Service Activities**—Specify the committee or activity; identify the degree to which the activity contributed to your professional development and/or benefits the university.

**2. Participation in Discipline's Program Activities—**

- a. General Expectation**—Demonstration of individual contributions and/or outcomes in activities selected from the following list. Individual faculty members are not expected to perform nor report activities in all of the bulleted categories under "Presentation Guidelines." Each faculty member is expected to report on his or her contributions in at least two or three different activities. The extent of expectation may be modified by the individual's annual goals.
- b. Presentation Guidelines**—To report successfully involvement in service activities, (a) specify service activities and (b) identify personal contributions toward the achievement of the goals of each activity. Identify your individual contributions to any of the following:
- **Student Advisement**—Identify the number of students advised, summarize your approach to advising, describe your contributions and/or the impact/outcomes of your advising activities.
  - **Student Recruitment**—Specify your involvement with Open Houses, SOAR sessions, scholarship selection, etc.; identify your individual contribution to the outcomes and/or the impact of your involvement.
  - **Student Retention**—Involvement with student-retention activities; identify your individual contributions and/or the impact of your involvement.
  - **Development of New Academic Programs**—Specify your involvement; identify your individual contributions and/or the impact of your involvement.
  - **Review and Revision of Existing Academic Programs**—Specify the committee or activity; identify your individual contribution to the outcomes.
  - **Assessment Activities**—Specify the committee or activity; identify your individual contribution to the outcomes.
  - **Other Disciplinary Program Activities**—Specify the activity; identify your individual contribution to the outcomes.

**D. Scholarly Activities**

1. **General Expectations**--A minimum of some specific outcome and/or achievement is expected for each faculty member each year. Individual faculty need only report on the specific outcomes and/or achievements in the category or categories that apply to their scholarly work—not on all categories. The extent of expectation may be modified by the individual's annual goals and/or assigned workload. Department elaborations may also provide guidance regarding the relative value of the various types of scholarly activities.
  2. **Presentation Guidelines**—To identify scholarly achievements, specify the category of achievement as defined in the *Faculty Handbook* (and below) and provide information wherever possible in the form of a bibliographic reference. Please note that “Scholarly Activity Criteria Examples” appear in Section 2.11.4.c of the *Faculty Handbook*.
    - **Refereed Publications**—Present key information in bibliographic form including date of publication.
    - **Books, Monographs, and Chapters and Non-Refereed Publications**—Present key information in bibliographic form including date of publication.
    - **Copyrights or Patents**—Generally describe item copyrighted or patented and date of event.
    - **Recitals, Concerts, Exhibits, and other Evidence of Artistic Accomplishment**—List key elements in bibliographic form.
    - **Grants & Contracts Received**—Identify the grant or contract by name, the granting or contracting entity, the date awarded, the amount received, and a brief description of the work to be performed. If not yet awarded, identify expected decision date. (Report submission of a grant proposal that is not funded in the “Other Scholarly Activity” category.)
    - **Development of Research Laboratory and Teaching Facilities**—Describe developments achieved and the date achieved; identify your individual role in the development.
    - **Presentations at Scholarly Conferences, Workshops, and Seminars**—Present key information in bibliographic form including date of presentation. Present and identify each as “refereed,” “invited,” “non-refereed,” or “other meetings.”
    - **Presentations at University, School, or Department Events**—Present key information in bibliographic form including date of presentation.
    - **Consulting**—Identify entity or type of entity consulted, consulting activity, and dates of activities. For each activity, describe the benefits to your professional development and/or to the university.
    - **Other Scholarly Activity**—Identify activity, general description of your involvement in the activity, outcomes of your involvement, and date of activity.
- E. **Maintenance and Improvement of Knowledge of the Academic Field**—*Note:* Some overlap may be present between Section II.D—Scholarly Activities and Section III.E—Maintenance & Improvement of Knowledge of the Academic Field. Department elaborations may also provide guidance regarding standards required in this performance category.
- **For Faculty Hired to Begin Fall 1990 and After**—Generally, this performance category will be achieved through a faculty member's scholarly activities. If so, then nothing additional needs to be reported in this section. However, additional activities, such as the outcomes from participation in professional conferences, seminars, etc. and achievement of professional certifications that serve as evidence of maintenance and improvement of knowledge and cannot be reported under “scholarly activities” may be reported in this section.
  - **For Faculty Hired to Begin Prior to Fall 1990**—Those who have declared a teaching focus MUST fulfill this requirement. Those who have not declared a teaching focus, should follow the guidance for faculty hired Fall 1990 and after.
1. **General Expectations**—Separately from scholarly activities reported in Section III, identify the goals of your activities, specify the activities, and identify the results of your efforts through the performance period to maintain and/or improve your knowledge of the academic field.
  2. **Presentation Guidelines**—
    - Identify your goal—(a) elements in your academic field that have changed and/or (b) elements in your academic field about which you have pursued improvement in your knowledge
    - Specify key activities in which you were engaged to achieve this knowledge.
    - Identify the benefit derived from your participation
    - Identify how what you have learned has been applied in your teaching, research, or service

- Identify how you, your students, your faculty colleagues, your discipline, and/or the university has benefited from the application.

**F. Required Faculty Responsibilities**

- 1. General Expectations**—All faculty are expected to engage in the specified faculty responsibilities from Section 2.4.2 of the *Faculty Handbook*. Please note that expectations “a” (i.e. currency), “b” (i.e. scholarship), and “c” (i.e. service) are reported elsewhere; reporting again in this section is not necessary. If a faculty member cannot achieve the specified faculty responsibilities, he or she should follow established procedures to gain approval for necessary variances.
- 2. Presentation Guidelines**—Faculty members who have engaged in each of the specified faculty responsibilities as described in Section 2.4.2 of the *Faculty Handbook* or have followed appropriate procedures to gain approval for any variance should include the bolded paragraph following the list in their faculty activity reports. Please note that if chairs or deans have conflicting evidence verification beyond the signature below may be needed. Chairs and/or deans should address non-compliance with individual faculty members regarding these issues if and when issues become apparent.
 

(d) Office hours	(k) Advising students
(e) Responding to correspondence	(l) Interacting with students outside class
(f) Presence on campus	(m) Submitting grades within timelines
(g) Providing complete syllabi	(n) Working collegially with colleagues
(h) Ensuring student integrity in assigned work	(o) Anticipating and avoiding conflicts of interest
(i) Timely ordering of textbooks	(p) Attending at least one commencement event
(j) Meeting scheduled classes	each review period

**I confirm that during this evaluation period, I have performed these 13 required faculty responsibilities to the extent described in Sections 2.4.2 of the *Faculty Handbook* or have followed appropriate procedures to gain approval for any variance.**

_____	_____
<b>Name</b>	<b>Date</b>

*(Section III: FAC Review—March 4, 2009; Approved by Provost—March 4, 2009)*