

Agenda  
EPSY Department Meeting  
March 1, 2013  
9:30 to 11 a.m.  
Gentry 142

1. Review February Faculty Meeting Minutes (see attachment)
2. Announcements
  - a. Required Compliance Training (see attachment)
  - b. GA Support from the Department
  - c. Student Evaluation of Teaching Changes (see attachment)
  - d. HuskyDM
  - e. Required Password for Mobile Devices (see attachment)
  - f. Provost Visit to NSoE Meeting Today
  - g. New Faculty Member James Kaufman
  - h. New Academic Plan
  - i. Other
3. Guest Speaker (Asst Vice Provost Maria D. Martinez)
4. Committee Issues
  - a. Update on Proposed Merit Guidelines (Brown; see attachment)
  - b. Scholarships (Faggella-Luby)
  - c. Cluster Searches
  - d. Graduate Faculty Council – Scholarly Integrity (Brown; see attachment)
  - e. Other
5. Other Issues
  - a. Vote on PTR Documents (see attachments)
  - b. Other
6. Adjourn

**EDUCATIONAL PSYCHOLOGY DEPARTMENT  
FACULTY MEETING MINUTES  
February 1, 2013**

**Attendees: S. Brown, R. Colbert, M. Coyne, J. Gubbins, O. Karan, T. Kehle, C. Little, J. Madaus, B. McCoach, J. Rogers, H. Swaminathan, D. Siegle, B. Simonsen, G. Sugai, M. Welsh, M. Yakimowski, M. Young, C. Rhoads, J. Van Heest, S. Everett, J. Goldstein, A. Lombardi, S. Patwa, J. Joo**

**1. Welcome**

The meeting commenced at 9:35 am.

**1. Changes to the Minutes**

There were no corrections to the December meeting minutes. They will stand as presented.

**2. Announcements**

- a. J. O'Neil and M. Bray will be on sabbatical for the spring semester. J. Madaus has returned as well as H. Swaminathan and C. Little.
- b. The proposal for changes to ESPY 6601 has been withdrawn. The course will now be taught in the fall as well as the spring semester. This will accommodate the school psychology students.
- c. IBM students traditionally complete EPSY 4010/4015 back to back. M. Yakimowski moved and S. Brown seconded a motion to change EPSY 4010 from one credit to two credits and eliminate EPSY 4015. The content from 4015 will now be included in 4010. M. Welsh provided the course syllabus and C & C forms, which are also available on the EPSY website with the department agenda and handouts. M. Yakimowski suggested that the course be made into a 3 credit course. B. McCoach informed her that will be considered in the future, but presently it was going to go forward as a 2 credit. The motion was unanimously accepted.
- d. Indirect PI Research Allocations were issued this week. D. Siegle wanted to be certain that the faculty had been officially notified.
- e. The Harris Kahn Dissertation Award is given to a student with an outstanding dissertation in the Educational Psychology Department. It has not been given to anyone for several years. The foundation is concerned that these monies have not been given to a deserving student. D. Siegle notified the faculty that they

should be nominating a student this year. The Kahn family is very interested in dissertation with quantitative research. The dissertation should be from 2012.

- f. H. Swaminathan and Mary Anne Doyle worked very hard on the PTR/Promotion Guidelines. All of the feedbacks from the different department have been implemented into the guidelines. EDLR will be voting on this document today. EPSY will have their vote during the March departmental meeting.
- g. D. Siegle reminded the faculty that Submissions for the Faculty Large Grant deadline is February 7<sup>th</sup>. It was also mentioned that with the increased faculty population it would be more difficult to acquire this grant. A faculty member can only receive this grant twice in five years.
- h. Other – Nothing to report.

3. Committee Issues

- a. Proposal Merit Guidelines – to date, the committee has not received any feedback. S. Brown encouraged the faculty to submit any feedback soon.
- b. Other – Nothing to report.

4. Other Issues

- a. The six programs broke into their respective groups. They developed a mission statement as well as 6 objectives and 6 goals for the program. M. Yakimowski mentioned that the groups' objectives should consider a one-year timeframe. The goals should be long term. These goals and objectives have been requested by the University as well as each department.
- b. Each group shared with the faculty what it had developed for each of the areas. Programs will continue to work on this as a group and will give the final results to D. Siegle in a month.

5. Adjournment

Motion to adjourn was proposed by B. Simonsen and it was seconded by J. Madaus. Meeting adjourned at 11:12 am.

**SENT ON BEHALF OF LIZ VITULLO, OFFICE OF AUDIT, COMPLIANCE AND ETHICS.**

# Annual Compliance Training

Mandatory Annual Compliance Training 2013 for all employees including Faculty and Staff begins on February 15, 2013 in the Dodd Center's Konover Auditorium. Please register for sessions using [prodev.uconn.edu](http://prodev.uconn.edu)

**The 2013 Annual Online Compliance Training Program is now available. The deadline to complete training is May 15, 2013.**

Training may be accessed through [HuskyCT](#)

Please remember that all questions must be answered correctly to receive proper credit for this year's training.

If you have questions about the training please call Liz Vitullo at 486-2530 or email [compliance.training@uconn.edu](mailto:compliance.training@uconn.edu). Please contact the HELP Center at 486-4357 with any technical questions or difficulties.

Special Payroll and Adjuncts are **not** required by OACE to complete the Annual Compliance Training. However, some Departments require the training, please check with your Department to see if Special Payroll and Adjuncts are required to complete the Training.

University of Connecticut: Student Evaluation of Teaching



University of Connecticut

## Student Evaluation of Teaching Fall 2012

### Individual Report for BLAW-3175-003-STORR- Legal&Ethical Environ Business

Instructor: **Mark Deangelis** (SET Primary Instructor)

#### Response Table

Student Course Evaluations	
Raters	Students
Responded	74
Invited	93
Response Ratio	80%

## University of Connecticut: Student Evaluation of Teaching

**Section 1. Summary**

Please respond to the following question about instructor Mark Deangelis.

Question	Course	Department	School	University
	Median	Median	Median	Median
The instructor presented the course material clearly.	5.0	5.0	5.0	4.0
The instructor was well prepared for class.	5.0	5.0	5.0	5.0
The instructor responded to questions adequately.	5.0	5.0	5.0	5.0
The instructor stimulated interest in the subject.	5.0	5.0	5.0	4.0
The instructor showed interest in helping students learn.	5.0	5.0	5.0	5.0
The instructor gave clear assignments.	5.0	5.0	5.0	4.0
The instructor was accessible to students.	5.0	5.0	5.0	5.0
The instructor gave useful feedback on my performance.	5.0	5.0	4.0	4.0
The instructor returned graded work in a reasonable amount of time.	5.0	5.0	5.0	5.0
The instructor used class time effectively.	5.0	5.0	5.0	5.0
The instructor treated all students with respect.	5.0	5.0	5.0	5.0
The instructor graded fairly.	5.0	5.0	5.0	5.0
The instructor's teaching methods promoted student learning.	5.0	5.0	5.0	4.0

What is your overall rating of Mark Deangelis's teaching?

Question	Course	Department	School	University
	Median	Median	Median	Median
What is your overall rating of the instructor's teaching?	5.0	5.0	5.0	4.0

Please respond to the following question about the course.

Question	Course	Department	School	University
	Median	Median	Median	Median
The methods of evaluating student learning seemed appropriate.	5.0	4.0	4.0	4.0
The course content was well organized.	5.0	5.0	5.0	4.0
The course objectives were clear.	5.0	5.0	5.0	4.0
The course objectives were met.	5.0	5.0	5.0	4.0
The textbook made a valuable contribution.	3.5	3.0	3.0	3.0
The other course materials made a valuable contribution.	5.0	5.0	4.0	4.0
The pace of the course seemed appropriate.	5.0	5.0	4.0	4.0

What is your overall rating of the course?

Question	Course	Department	School	University
	Median	Median	Median	Median
What is your overall rating of the course?	5.0	4.0	4.0	4.0

## University of Connecticut: Student Evaluation of Teaching

**Section 2. Student Information****What is your Academic Level?**

Options	Count	Percentage
Freshman	0	0%
Sophomore	0	0%
Junior	27	37%
Senior	46	63%
Graduate	0	0%
Other	0	0%

**What is your expected grade in this course?**

Options	Count	Percentage
A	42	58%
B	29	40%
C	1	1%
D	0	0%
F	0	0%
Pass	0	0%
Fail	0	0%
Other	0	0%

**What is your cumulative average (GPA)?**

Options	Count	Percentage
3.5 and above	0	0%
3.0-3.4	38	53%
2.5-2.9	32	44%
2.0-2.4	2	3%
< 2.0	0	0%

**How many times did you miss this class?**

Options	Count	Percentage
0-2	49	66%
3-4	18	24%
5-6	6	8%
> 6	1	1%

University of Connecticut: Student Evaluation of Teaching

## Section 2. Student Information (continued)

**On average, how many hours a week did you spend outside of class preparing for this course?**

Options	Count	Percentage
0	1	1%
1-3	62	85%
4-6	8	11%
7-9	2	3%
10-14	0	0%
15+	0	0%

**Which best describes this course for you?**

Options	Count	Percentage
Requirement for my major	49	68%
General Education Requirement	4	6%
Other Requirement	13	18%
Elective	2	3%
Elective for major	4	6%

**My desire to take this course was:**

Options	Count	Percentage
Much more than most courses	8	11%
More than most courses	36	49%
About the same as most courses	25	34%
Less than most courses	4	5%
Much less than most courses	0	0%

**For me, the level of difficulty of the course content was:**

Options	Count	Percentage
Much more than most courses	2	3%
More than most courses	11	15%
About the same as most courses	46	62%
Less than most courses	15	20%
Much less than most courses	0	0%



University of Connecticut: Student Evaluation of Teaching

## Section 2. Student Information (continued)

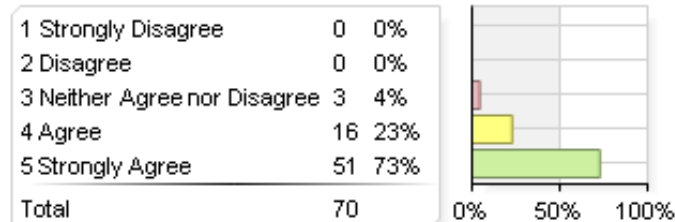
Overall, how much do you feel you've learned in this course?

Options	Count	Percentage
Much more than most courses	11	15%
More than most courses	43	59%
About the same as most courses	17	23%
Less than most courses	2	3%
Much less than most courses	0	0%

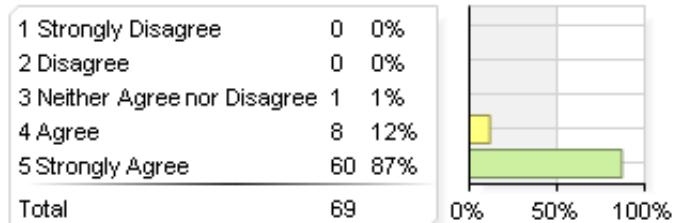
## Section 3. Questions About the Instructor

Please respond to the following question about instructor Mark Deangelis.

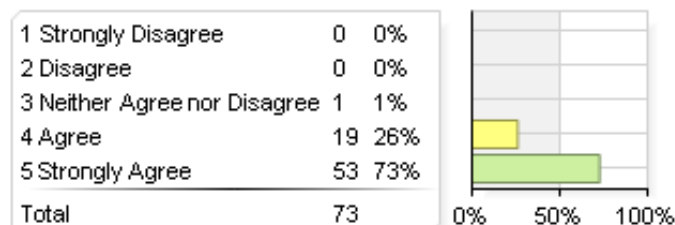
1. The instructor presented the course material clearly.



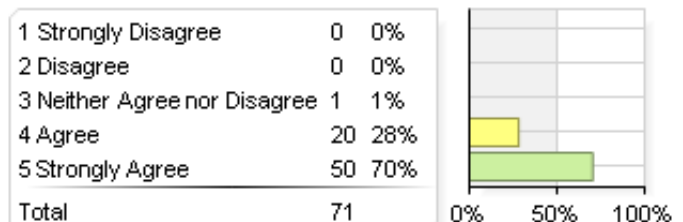
2. The instructor was well prepared for class.



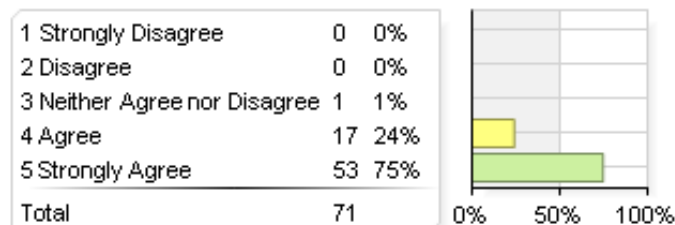
3. The instructor responded to questions adequately.



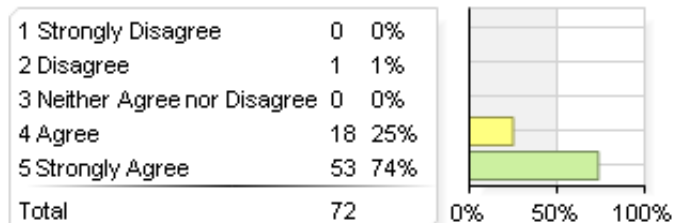
4. The instructor stimulated interest in the subject.



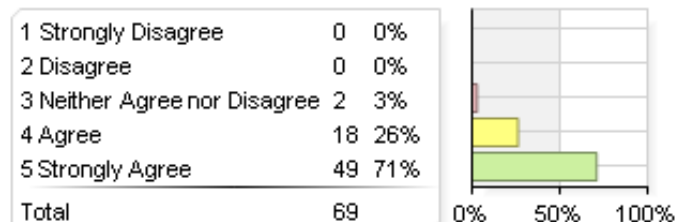
5. The instructor showed interest in helping students learn.



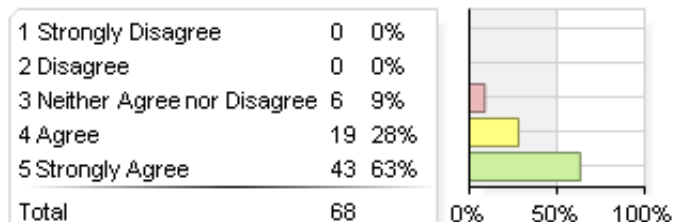
6. The instructor gave clear assignments.



7. The instructor was accessible to students.



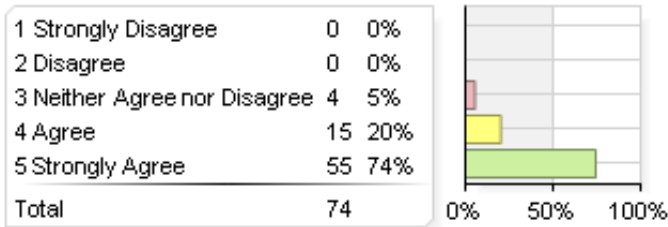
8. The instructor gave useful feedback on my performance.



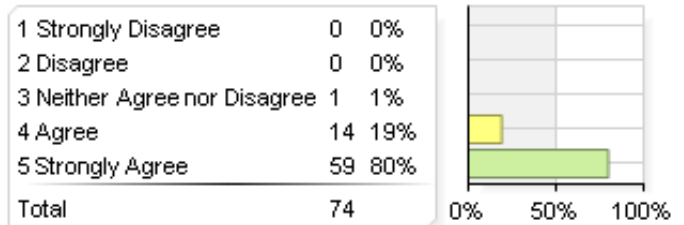
University of Connecticut: Student Evaluation of Teaching

**Please respond to the following question about instructor Mark Deangelis.  
(continued)**

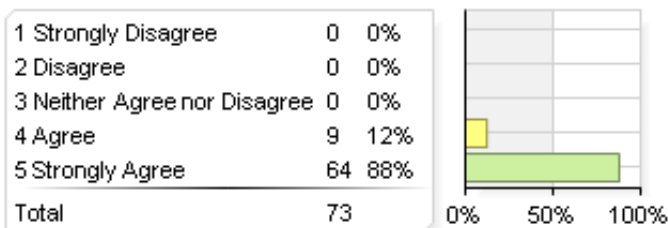
9. The instructor returned graded work in a reasonable amount of time.



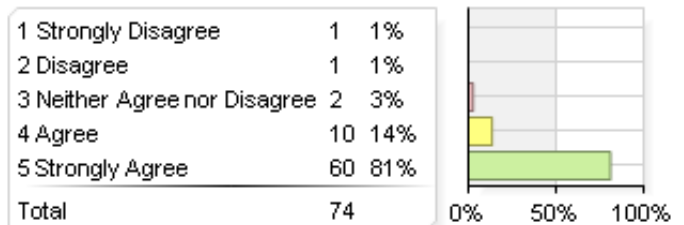
10. The instructor used class time effectively.



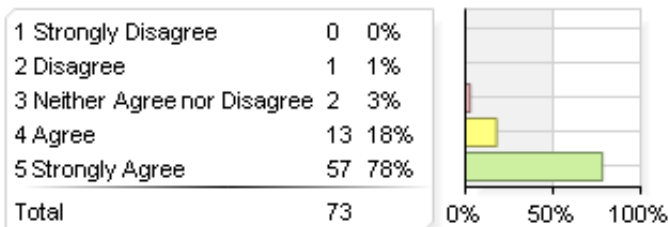
11. The instructor treated all students with respect.



12. The instructor graded fairly.



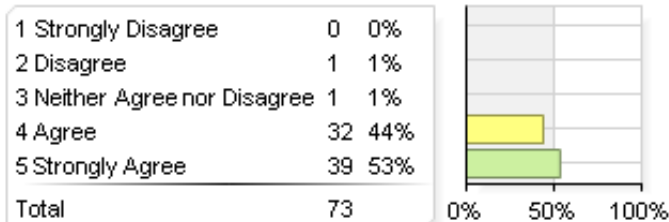
13. The instructor's teaching methods promoted student learning.



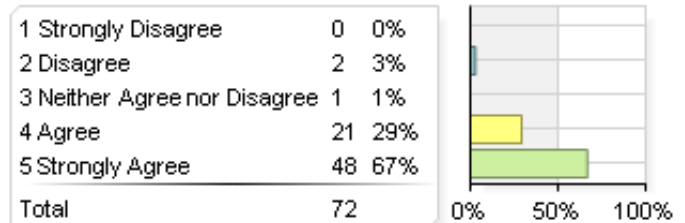
## Section 4. Questions About the Course

Please respond to the following question about the course.

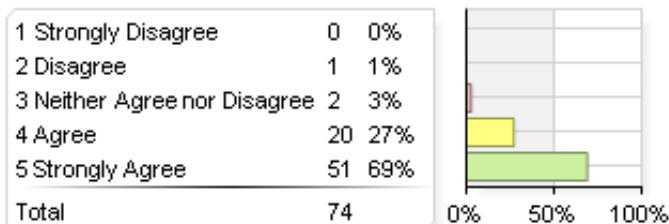
1. The methods of evaluating student learning seemed appropriate.



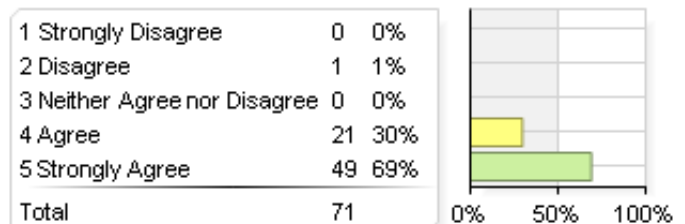
2. The course content was well organized.



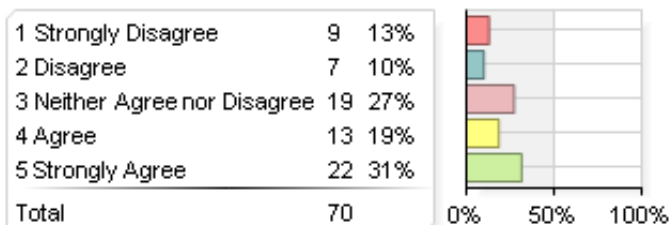
3. The course objectives were clear.



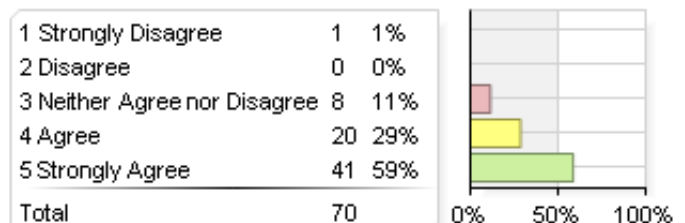
4. The course objectives were met.



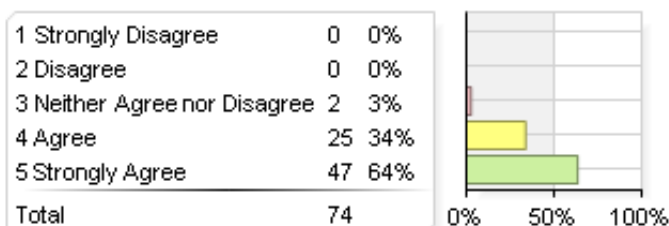
5. The textbook made a valuable contribution.



6. The other course materials made a valuable contribution.



7. The pace of the course seemed appropriate.

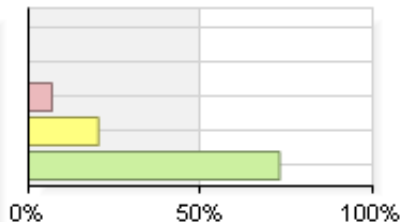


## Section 5. Aggregate Report on "Overall Questions"

### Overall Rating

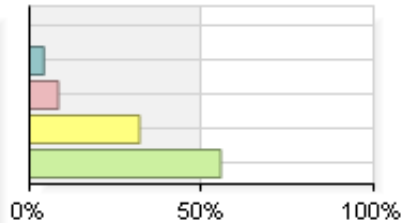
1. What is your overall rating of the instructor's teaching?

1 Poor	0	0%
2 Fair	0	0%
3 Good	5	7%
4 Very Good	15	20%
5 Excellent	54	73%
<b>Total</b>	<b>74</b>	



2. What is your overall rating of the course?

1 Poor	0	0%
2 Fair	3	4%
3 Good	6	8%
4 Very Good	23	32%
5 Excellent	40	56%
<b>Total</b>	<b>72</b>	



### Overall Rating

Question	Good, Very Good & Excellent	Very Good & Excellent	Excellent
What is your overall rating of the instructor's teaching?	100%	93%	73%
What is your overall rating of the course?	96%	88%	56%

- **Mobile Device Accessing Univ. Email: Please Read**

Beginning March 4, 2013, mobile devices\* accessing the University Exchange Mail Server will need to be configured with certain security settings before access is granted.

**Reasons for Change:**

- To protect University data stored on mobile devices, as required in the University's Access Control Policy: <http://policy.uconn.edu/?p=2433>
- To address recent industry trends to which point to mobile devices as the top target for security threats in 2013.

**After March 4, 2013, if you use your Android, Apple, or Windows mobile device\* to access the UConn Exchange Mail Server, you will be prompted with the following additional security settings (if not already in use):**

- Set a numeric four digit passcode/password to unlock your mobile device.
  1. Android users will **NOT** be able to use the "pattern" option for screen locking.
  2. Passwords will **NOT** be recoverable so choose something you'll remember.
  3. Mobile device will lock after five minutes of inactivity (This setting will be set automatically).

For those who use a personal device to access the UConn Exchange mail server, and choose to remove the mail account from their device so not to be affected, reference the appropriate link below for instructions.

- For Apple Devices: [www.iphone.uconn.edu](http://www.iphone.uconn.edu) – scroll down to view "Removing an existing UConn email account (setup manually)"
- For Android Devices: [www.android.uconn.edu](http://www.android.uconn.edu) – scroll down to view "Removing an existing UConn email account (setup manually)"
- For Microsoft Windows Mobile Devices:

<http://www.windowsphone.com/en-US/How-to/wp7/people/set-up-an-email-account>

\* **Apple** devices affected include: iPhone, iPad and iPod Touch.

**Android** devices affected include: phones and tablets.

**BlackBerry** device affected is the BlackBerry 10.

For more information, contact: Help Center at 860.486.HELP (4357)

## Educational Psychology Department

### University of Connecticut

#### Annual Report and Merit Procedures

##### Annual Report: The Provost's Annual Report Forms

Each faculty member is responsible for filing the Provost's Annual Activity Report. The form for filing the Annual Report can be found at <http://huskydm.uconn.edu>. The deadline for completing and submitting this form is **sent annually by the Provost's office to generally coincide with mid-June**. This form is submitted electronically.

##### Application for Merit: Process and Deadlines

As defined by the AAUP contract, "Merit is for the recognition of noteworthy contributions to one's department, school, campus or college, the University and/or professional discipline through the traditional avenues of teaching, research and service. ... It is recognized that conditions vary within and among departments in terms of individual expectations, and it is agreed that awards at the various levels are designed to recognize individual achievement" (AAUP contract, Article 25).

Within the EPSY Department, the goal of the merit system is to reward faculty members for accomplishments and achievements that significantly strengthen the stature and the reputation of the department within the university as well as at state, national, and international levels. Thus, designations regarding merit awards will be based on the extent to which the faculty member's activities meet and/or exceed this purpose. Since substantial numbers of faculty members have unique sets of negotiated job responsibilities and formal agreements, it is acknowledged that the departmental merit procedures must be sufficiently flexible to make it possible to reward the meritorious activities and accomplishments of each faculty member. Therefore, the merit system allows for evaluation of each faculty member on a case-by-case basis to assess his/her activities and accomplishments that are considered to be above and beyond required expectations (e.g., teaching classes, serving on departmental committees) associated with his/her role.

In order to be eligible for merit, each faculty member must submit the EPSY Merit Request Form; the Educational Psychology Department Criteria for Meritorious Performance will be used to evaluate each faculty member's performance<sup>1</sup>. Expectations, both *required* and *additional*, are outlined in the Neag School of Education Guidelines for PTR and Merit. The EPSY

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<sup>1</sup> All related documents are appended to this document.

**March 01, 2013**

Merit Request Form allows for evaluation of performance using the following categories: 0 = no merit, 1 = low merit, 2 = mid-level merit, 3 = high merit<sup>2</sup>. Definitions of each category are as follows:

- **0 = No merit.** Did not meet departmental *requirements* for merit.
  - **1 = Low Merit.** Met *requirements* for EPSY departmental merit.
  - **2 = Mid-Level Merit.** Met *requirements* for departmental merit and also scored above departmental average, based on prior year summary data.
  - **3 = High Merit.** Met *requirements* for EPSY departmental and *additional* merit, scoring above the departmental average based on prior year summary.
- In order to be considered for merit, each faculty member must submit the EPSY Merit Request Form **simultaneously** with the Annual Report, no later than the deadline<sup>3</sup>. If desired, supporting materials (e.g., a report form from HuskyDM) may also be submitted.
  - When completing the EPSY Merit Request Form, faculty should consult the departmental summary provided by the department chair from the prior year along with the guidelines for the merit rating categories. Ratings should be accompanied with a clear narrative that justifies rating in each category (500 word limit per narrative section). Within the narrative, faculty are encouraged to address focus on diversity, as emphasized within the University's Academic Plan (2009-2014; <http://www.academicplan.uconn.edu>) and action plan developed by the Neag Dean's Council on Diversity. Note that information included on the EPSY Merit Request Form must be consistent with data reported on the Annual Report. For example, articles in press cannot be included.
  - The Department Head will use all submitted materials for each faculty member (Annual Report or HuskyDM data, and EPSY Merit Request Form) to evaluate the record of activities and accomplishments. For each section, the Department Head will indicate his or her rating of each applicant using the same categories: 0 = no merit, 1 = low merit, 2 = mid-level merit, 3 = high merit. All of this information will be integrated to form an overall merit rating for each applicant<sup>4</sup>. To establish monetary value associated with each rating level, the Department Merit pool will be divided into two merit pools: a merit pool for tenure-track faculty and a merit pool for non-tenure track faculty based

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<sup>2</sup> If a category does not apply to the applicant's job position, a rating of not applicable (N/A) should be indicated along with brief explanation.

<sup>3</sup> This form contains sections consistent with the merit criteria as outlined in the Neag School of Education Guidelines for PTR and Merit.

<sup>4</sup> Regardless of your rating on the merit form, to be recommended for Dean/Chancellor's merit, you must be (a) one of the top 10-20% of the faculty in the Neag School and (b) have exemplary performance in at least two areas, one of which is scholarship. Note that these criteria do not discriminate by rank.



**March 01, 2013**

on their prorated contributions to the EPSY department merit pool. Merit will be allocated from these two pools according to established criteria.

- The Department Head will notify each applicant of his/her merit recommendation by **June 30<sup>th</sup>** by returning a copy of the completed EPSY Merit Request Form, which will include the overall rating by the Department Head and indication as to whether Dean/Provost's Merit is recommended. The form of notification will be via email. If the faculty member has concerns over the rating he/she received, within 14 calendar days, the faculty member may request a meeting with the Department Head for further discussion regarding the recommendation.
- Final decisions regarding faculty merit recommendations will be forwarded to the Dean by **July 15<sup>th</sup>**. Those applicants receiving a designation of High Merit will be recommended to the Dean/Provost for consideration for "special merit", assuming all other conditions have been met (e.g. you must be one of the top 10-20% of the EPSY faculty and have exemplary performance in scholarship and one additional area). Applicants have 14 calendar days from the time of the Department Head's submission to the Dean to discuss the recommendation with the Dean.
- The Dean shall review recommendations and then forward his or her own recommendations to the Provost within required timelines. Within 2 weeks of making those recommendations, the Office of the Dean shall compile and make available to the departments an abstract of merit awards.
- At the first faculty meeting in the new academic year, the Department Head will share the Dean's abstract of awards in addition to a summary specific to the EPSY department. The EPSY summary shall minimally include the distribution of faculty members who fell into each of the four merit categories, as well as the range of monetary awards at each merit level. In addition, the Department Head will provide descriptive summary data regarding the accomplishments of overall faculty from the prior year. This information will be disaggregated by rank and tenure status unless results would allow for personal identification. Minimally, this descriptive summary data will include: (a) number of courses taught, (b) overall course rating, (c) number of total publications, (d) number of peer-reviewed publications, (e) advisees graduated by degree, (f) number of major advisees and associate advisees by degree, (g) number of major advisees who are minority by degree, (h) total grant dollars, and (i) committee membership at school, university, and national levels.

March 01, 2013

## EPSY MERIT REQUEST FORM

Note that this form must be completed for consideration of merit, and must be submitted simultaneously with required Annual Report materials. Prior to completing the form, applicants are strongly encouraged to read the accompanying Annual Report and Merit Procedures.

**Name:**

**Job Title:**

**Date:**

**Job Description:**

Insert a brief narrative of job description or duties, including clarification as to how all categories of evaluation may or may not apply.

Job Description:

Directions: Using the Educational Psychology Department Guidelines for Merit, consider your accomplishments. For each section, please provide a brief narrative documenting these accomplishments in relation to the criteria. Within the narrative, faculty are encouraged to address focus on diversity, as emphasized within the University's Academic Plan (2009-2014) and action plan developed by the Neag Dean's Council on Diversity. Note that for each section, the **maximum limit is 500 words**. In addition, provide an overall rating of each section using the following guidelines:

**N/A** = not applicable. Provide a brief rationale.

**0 = No merit** - Did not meet departmental *requirements* for merit.

**1 = Low Merit** - Met *requirements* for EPSY departmental merit.

**2 = Mid-Level Merit** - Met *requirements* for departmental merit and also scored above departmental average, based on prior year summary data.

**3 = High Merit** - Met *requirements* for EPSY departmental and *additional* merit, scoring above the departmental average based on prior year summary.

March 01, 2013

### Scholarship

Your Rating:	
Description of Accomplishments:	

Department Head Rating:	
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### Teaching

Your Rating:	
Description of Accomplishments:	

Department Head Rating:	
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### Service

Your Rating:	
Description of Accomplishments:	

Department Head Rating:	
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### OVERALL MERIT RATING

To be completed by Department Head ONLY. Comments should be included to clarify any discrepancies from self-ratings.

Department Head Rating:	
Recommended for Dean/Provost's Merit?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Description of Rating:	

**Appendix. Educational Psychology Department Criteria for Meritorious Performance**

Categories*	<b>Required Standards for Departmental Merit</b> Productivity or contributions <i>required</i> for Educational Psychology departmental merit	<b>Additional Criteria for High Merit</b> Substantial productivity or contributions beyond that <i>required</i> for Educational Psychology department merit
<b>Scholarship</b>	<ul style="list-style-type: none"> <li>• <b>Publications significantly in excess of <i>required</i></b> Specifically (2 or more scholarly publications [i.e., book, book chapter, journal article] at least one of which is a peer-reviewed journal article)</li> </ul>	<p><b>At least ONE of the following:</b></p> <ul style="list-style-type: none"> <li>• <b>Exemplary number of and/or valued scholarly publications</b></li> <li>• <b>Grant/contract productivity as measured by external grants or contracts submitted and/or awarded</b></li> </ul>
<b>Teaching</b>	<p><b>At least ONE of the following:</b></p> <ul style="list-style-type: none"> <li>• <b>Outstanding teaching evaluations across the average of graduate courses taught since the last merit report</b> (average of 9.0+)</li> <li>• <b>Outstanding teaching evaluations across the average of undergraduate courses taught since the last merit report</b> (average of 8.5+)</li> </ul>	<p><b>At least ONE of the following:</b></p> <ul style="list-style-type: none"> <li>• <b>Superior teaching evaluations, as evidenced using multiple methods of teaching evaluations</b> (sustained effort to improve teaching and use of exemplary methods of teaching that fit the type of class being taught).</li> <li>• <b>Heavy teaching load</b> (More than a 2-2 load, with, for example, large student enrollment and high quality teaching)</li> <li>• <b>Heavy advisement load</b> (undergraduate, or graduate).</li> <li>• <b>Publishing with a student</b></li> <li>• <b>Teaching innovations</b> (e.g., teaching a new course, developing a teaching innovation).</li> </ul>

<b>Service</b>	<p><b>At least ONE of the following:</b></p> <ul style="list-style-type: none"> <li>• <b>Extensive service at the Department, School, or University level</b> (Demonstrated participation, not just a member of a committee, or extensive committee involvement)</li> <li>• <b>Exemplary service to your? field (this also is included as an additional criteria—not sure where it should go)</b></li> </ul>	<p><b>At least ONE of the following:</b></p> <ul style="list-style-type: none"> <li>• <b>Exemplary service to the university</b></li> <li>• <b>Exemplary service to your field</b></li> <li>• <b>High-level leadership</b> (e.g., editor, or co-editor of a journal, president of a scholarly association, national panels, grant reviewers)</li> <li>• <b>Exemplary administrative performance</b> (in a role making significant improvements)</li> <li>• <b>High level leadership</b> (e.g., program coordinator, chair of committee)</li> <li>• <b>Pro bono professionally related community service</b> (Note: See the criteria link or more specific description that UConn operates as an engaged university)</li> </ul>
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\*To qualify for merit, an individual must be exemplary in TWO or more areas. However, one of the two areas must be *scholarship*. EPSY Merit Awards will be based on work in the area of scholarship plus either teaching or service.

## **SCHOLARLY INTEGRITY IN GRADUATE EDUCATION AND RESEARCH**

Scholarly activity at the graduate level takes many forms, including, but not limited to, classroom activity, laboratory or field experience, writing for publication, presentation, and forms of artistic expression. Integrity in all of these activities is of paramount importance, and the Graduate School of the University of Connecticut requires that the highest ethical standards in teaching, learning, research, and service be maintained.

Scholarly integrity encompasses “both research integrity and the ethical understanding and skill required of researchers/scholars in domestic, international, and multicultural contexts.” It also addresses “ethical aspects of scholarship that influence the next generation of researchers as teachers, mentors, supervisors, and successful stewards of grant funds” (Council of Graduate Schools, *Research and Scholarly Integrity in Graduate Education: A Comprehensive Approach*, 2012).

The Graduate Faculty Council, in accordance with the provisions of its By-Laws, has adopted this policy concerning scholarly integrity in graduate education and research and has approved the procedures set forth herein for addressing alleged violations. The Dean of the Graduate School shall coordinate the reporting, investigation, and determination of alleged breaches of scholarly integrity by graduate students in accordance with this policy. (A graduate student is defined as any individual who holds admission to the Graduate School to pursue either a graduate certificate or graduate degree, as well as any other individual enrolled in a graduate-level course who is not strictly enrolled in an undergraduate degree or an undergraduate certificate program.)

Members of the Graduate Faculty have primary responsibility to foster an environment in which the highest ethical standards prevail. All members of the University community have a responsibility to uphold the highest standards of scholarship, which encompasses activities of teaching, research, and service, and to report any violation of academic integrity of which they have knowledge. Instructors have a responsibility to take reasonable steps to prevent scholarly misconduct in their courses and to inform students of course-specific requirements.

*Note: Student misconduct other than scholarly misconduct, as defined herein, is governed by the University’s Student Code, which is administered under the direction of the Office of the Provost. Enforcement of its provisions is the responsibility of the Director of Community Standards. At the Health Center, student misconduct other than scholarly misconduct is governed by the Rules of Conduct.*

### **A. DEFINITIONS OF SCHOLARLY MISCONDUCT**

Scholarly misconduct is broadly defined as a failure to uphold standards of scholarly integrity in teaching, learning, research, or service.

For the purpose of this Policy, scholarly misconduct shall be deemed to include, but not be limited to, the following types of misconduct. The list is not intended to be exhaustive, but does identify major categories of scholarly misconduct, and provides illustrations where appropriate.

*Cheating* involves dishonesty during a course, on an examination required for a particular degree, or at other times during graduate study, e.g., copying the work of another student.

*Plagiarism* involves using another person's language, thoughts, data, ideas, expressions, or other original material without acknowledging the source (adapted from Council of Writing Program Administrators, *Defining and Avoiding Plagiarism: The WPA Statement on Best Practices*, 2003).

*Distorted reporting* involves "any omission or misrepresentation of the information necessary and sufficient to evaluate the validity and significance of research, at the level appropriate to the context in which the research is communicated" (D. Fanelli, *Nature* 494:149; 2013).

*Fabrication or Falsification of Grades* involves any form of falsification of coursework or tampering with grades, e.g., a student making unauthorized changes to her/his own grades or an instructor consciously misreporting grades of students.

*Misrepresentation* involves taking an examination for another student, submitting work done by another individual as one's own, submitting the same work for evaluation in two or more courses without prior approval, unauthorized use of previously completed work or research for a thesis, dissertation, or publication, or making false, inaccurate, or misleading claims or statements when applying for admission to the Graduate School or in any scholarly or research activity, including publication.

*Academic or Research Disruption* involves unauthorized possession, use, or destruction of examinations, library materials, laboratory or research supplies or equipment, research data, notebooks, or computer files, or it might involve tampering with, sabotage of, or piracy of computer hardware, computer software, or network components.

*Fabrication or Falsification in Research* involves falsification of, tampering with, or fabricating results or data.

*Research Violations* include violation of protocols governing the use of human or animal subjects, breaches of confidentiality, obstruction of the research progress of another individual, or disregard for applicable University, local, State, or federal regulations.

*Professional Misconduct* involves violation of standards governing the professional conduct of students in particular fields (e.g., pharmacy, nursing, education, counseling, therapy).

*Deliberate Obstruction* involves hindering investigation of any alleged act of scholarly misconduct.

*Aiding or Abetting* involves actions that assist or encourage another individual to plan or commit any act of scholarly misconduct.

## **B. ADDRESSING ALLEGATIONS OF SCHOLARLY MISCONDUCT**

Allegations of scholarly misconduct will be addressed in accordance with the procedures set forth below. If a graduate student accused of scholarly misconduct is part of a combined degree program, the appropriate Associate Dean of the Graduate School (whether for Storrs and the regional campuses or the Health Center) and the academic leader of the other degree program will determine whether the complaint will be addressed in accordance with these procedures or in accordance with those of the other degree program, using the procedures of the program to which the alleged misconduct is more germane.

### **1. Misconduct Allegedly Committed Within an Academic Course**

When an instructor or relevant dean or department head believes that an act of scholarly misconduct within an academic course has occurred, the procedures set forth below shall be followed:

(a) The instructor, dean or department head who believes that scholarly misconduct has occurred within an academic course (the “Complainant”) shall retain all evidence of the alleged misconduct in its original form. Original papers or other materials need not be returned to the accused student. Copies of the accused student's work will be provided to him or her upon request. All instructors within the course shall be notified of the allegation and the proposed academic consequences before the student is notified of the alleged misconduct.

(b) Within thirty (30) business days of becoming aware of alleged misconduct the Complainant shall notify the accused student in writing of the allegation of misconduct and the sanctions to be imposed. The notice shall be sent by the Complainant to the accused student by e-mail, to the student’s official University e-mail address, and by first class mail, postage prepaid, to the mailing address on file with the University. The notification shall advise the student that s/he has ten (10) business days from the date the notice is sent via e-mail to contact the Complainant to address the alleged misconduct and/or request a hearing and that if s/he fails to do so, the sanctions described in the notice shall be imposed. The Complainant shall maintain a copy of the written notification sent to the accused student.

(c) The accused student may request a hearing by filing a written request with the appropriate Associate Dean of the Graduate School (whether for Storrs and the regional campuses or the Health Center). The Associate Dean shall notify the Complainant of the receipt of accused student’s request for a hearing within five (5) business days. The



Complainant shall within five (5) business days forward to the Associate Dean copies of the written notification sent to the student, copies of the student's work, and information about other evidence supporting the allegation. The Associate Dean will arrange for a hearing to be conducted in accordance with Section C hereof.

(d) A student who has been notified that s/he has been accused of scholarly misconduct may not withdraw from the course in which the alleged misconduct has occurred without the approval of the Dean of the Graduate School. If a semester concludes before a scholarly misconduct matter is resolved, the student shall receive a temporary "I" (Incomplete) grade in the course until the instructor submits the appropriate grade.

## **2. Misconduct Allegedly Committed Outside of an Academic Course**

A substantial portion of a graduate student's course of study takes place in contexts where they are not students within a course (e.g., serving as a teaching or research assistant, working as an intern, conducting thesis or dissertation research, taking a written or oral general exam). Allegations of scholarly misconduct committed outside of an academic course will be addressed according to the procedures described in this section with the following exceptions:

- Cases involving allegations of research misconduct at Storrs or regional campuses will be referred to the Vice Provost for Research for review under the Policy on Alleged Misconduct in Research. Cases involving allegations of research misconduct at the Health Center will be referred for action under the Policy on Review of Alleged Misconduct of Research. In either case, if the allegation is found to have merit, the case will be referred to a Hearing Committee for additional action (section C).
- Cases involving alleged violation of standards governing the professional conduct of students in particular fields (e.g., pharmacy, nursing, education, counseling, therapy) may be subject to additional review by other entities inside or outside the University (e.g., professional organizations, Institutional Animal Care and Use Committee, Human Subjects Institutional Review Board).

When any person (the "Complainant") believes that an act of scholarly misconduct outside of an academic course has occurred, the procedures set forth below shall be followed:

- (a) The Complainant shall retain the evidence of the alleged misconduct in its original form.
- (b) Within thirty (30) business days of becoming aware of the alleged violation, the Complainant shall notify the appropriate Associate Dean of the Graduate School (whether for Storrs and the regional campuses or the Health Center) of the alleged misconduct, in writing. The notification shall fully describe the nature of the alleged

misconduct and the circumstances involved and shall be accompanied by evidence supporting the allegation. The notification shall bear the signature of the Complainant, and shall be dated. The Complainant shall maintain a copy of the notification sent to the Associate Dean.

(c). The Associate Dean shall notify the accused student in writing of the allegation of misconduct within five (5) business days. The notice shall be sent by the Associate Dean to the student by e-mail, to the student's official University e-mail address, and by first class mail, postage prepaid, to the mailing address on file with the University. The notification sent by the Associate Dean shall advise the student that s/he has ten (10) business days from the date the notice is sent via e-mail to contact the Associate Dean to address the alleged misconduct. The Associate Dean shall maintain a copy of the notification sent to the accused student.

(d) The Associate Dean will review the evidence submitted with the notification and consider any additional information provided by the accused student. Within twenty (20) business days of receiving the notification from the Complainant, the Associate Dean will determine whether the case should be referred to a Hearing Committee (section C) or to a different office within the university.

### **C. HEARING ON ALLEGATION OF SCHOLARLY MISCONDUCT**

Accusations of scholarly misconduct to be subjected to a hearing will be heard by a Hearing Committee. The hearing will be scheduled no fewer than thirty (30) business days after the accused student is initially notified of advised of accusation of misconduct.

For good cause shown, the Associate Dean may be reschedule the hearing at the request of either the Complainant or the accused student. If the accused student fails to appear at the hearing, the Hearing Committee will hear evidence from the Complainant and render its finding. If the Complainant fails to appear at the hearing, the complaint will be dismissed. A finding of responsibility for scholarly misconduct or a dismissal of the complaint that arises from a party's failure to appear at the hearing may be appealed in writing to the Dean of the Graduate School, but only on the grounds that extreme circumstances prevented the party's attendance at the hearing. Should the appeal be accepted, the Dean will determine a new period within which a hearing must be held, and no further extensions will be granted.

The Hearing Committee shall be composed of three (3) voting members (two members of the graduate faculty and one graduate student). The appropriate Associate Dean of the Graduate School (whether for Storrs and the regional campuses or the Health Center) shall select members of the Hearing Committee with advice from the Executive Committee of the Graduate Faculty Council. The Associate Dean shall conduct the hearing as a non-voting member. No member of the Hearing Committee may be a member of the program/department of either party to the hearing. Nor may any member of the Hearing Committee have personal/professional associations with the parties. The accused student and the complainant(s) will be notified in writing of the composition of the Hearing Committee, and may object to the appointment of any committee

member on the grounds that the member's participation would jeopardize his or her right to a fair hearing. The Associate Dean conducting the hearing will determine whether any objections have merit and will decide whether a panel member will be seated.

The hearing, although formal, is not a court proceeding. As such, the Hearing Committee will not be bound by the procedures and rules of evidence of a court of law. The Hearing Committee will determine whether the student is responsible for scholarly misconduct as identified within notification of alleged misconduct sent to the accused student and will determine the appropriate sanction(s) if the student is found responsible. The Hearing Committee's decision shall be made by majority vote. A finding of scholarly misconduct shall be based on clear and convincing evidence submitted at the hearing.

The hearing will occur in private, and it will be recorded. The Graduate School will maintain a copy of the recording. The student may invite one person to attend the hearing as a support person. The student may consult with the support person throughout the hearing, but the support person shall not be permitted to participate in the hearing.

Both the student and the Complainant may submit documentary evidence and invite witnesses to provide testimony. The student and the Complainant shall submit the names of witnesses whose testimony they intend to offer to the Associate Dean conducting the hearing at least five (5) business days in advance of the hearing. The Associate Dean shall provide a list of the witnesses to the Hearing Committee, the student, the Complainant, and all witnesses at least two (2) business days before the scheduled hearing date.

The Associate Dean will conduct the hearing in accordance with the following procedure:

1. The Associate Dean will identify the accused student, the Complainant, the witnesses, the support person accompanying the student, if any, and the members of the Hearing Committee;
2. The Associate Dean will state the allegations of misconduct, as set forth in the notification sent to the accused student;
3. The Complainant and the accused student will be offered the opportunity to make opening statements;
4. The Complainant may present evidence of the alleged misconduct, which may include written statements, personal testimony, oral testimony of witnesses, and physical exhibits;
5. The accused student may present evidence to support his/her position, which may include written statements, personal testimony of the accused student, oral testimony of witnesses, and physical exhibits;
6. The Committee will be offered the opportunity to question the accused student, the accused student's witnesses, the Complainant, and/or the Complainant's witnesses.
7. The Complainant will be offered the opportunity to present a summation; and
8. The accused student will be offered the opportunity to present a summation.

During the hearing the accused student:

1. May decline to make statements. The accused student's refusal to answer questions shall not be interpreted as evidence of guilt; and
2. May decline to appear at the hearing. The refusal of the accused student to appear at the hearing shall not be interpreted as evidence of guilt. The hearing panel will consider the evidence presented in the absence of the accused student.

At the conclusion of the hearing, the Hearing Committee shall deliberate and render a decision. The decision will be sent to the accused student, the Complainant, the Dean of the school or college in which the alleged misconduct occurred, and to the Dean of the Graduate School within ten (10) business days from the date of the hearing. The notice shall be sent to the student by e-mail, to the student's official University e-mail address, and by first class mail, postage prepaid, to the mailing address on file with the University.

The Hearing Committee's decision will specify clearly:

1. Whether the student has been found responsible for scholarly misconduct; and
2. If so, the sanctions to be imposed. The Hearing Committee will consider mitigating circumstances in determining the severity of the sanctions to be imposed.

If the Hearing Committee finds that the student is responsible for scholarly misconduct, the finding will stand and the recommended sanctions will be imposed unless the student files a written appeal with the Dean of the Graduate School within ten (10) business days of his or her receipt of the Hearing Committee's decision. An appeal is not a new hearing. It is a review of the record of the original hearing. In order to prepare an appeal, the accused student and his or her support person (with the written consent of the accused student), shall have the right to review the records of the hearing, including the audio recording.

An appeal may be sought on the following three grounds:

1. On a claim of error in the hearing procedure;
2. On a claim of new evidence or information material to the case that was not available at the time of the hearing.
3. On a claim of substantive error arising from misinterpretation of evidence presented at the hearing.

The Dean of the Graduate School shall have the authority to dismiss an appeal not sought on one or more of these three grounds.

If an appeal is upheld, the Dean of the Graduate School shall refer the matter back to the Hearing Committee with appropriate instructions.

The decision of the Dean of the Graduate School concerning an appeal shall be final.

This policy was approved and adopted by the Board of Trustees on XXXX.

# **NEAG SCHOOL OF EDUCATION UNIVERSITY OF CONNECTICUT**

## **Policy, Procedures, and Criteria**

### **Re-appointment, Review, and Promotion of Tenure Track Faculty**

#### **Overview of the Neag School of Education**

The Neag School of Education (NSOE), the professional school of education at the University of Connecticut, is comprised of four departments: Curriculum and Instruction, Educational Leadership, Educational Psychology, and Kinesiology. These departments are responsible for fulfilling the mission of the Neag School of Education and that of the University of Connecticut. As such, the NSOE faculty has diverse responsibilities that include preparing leaders in the field of education, providing service to practitioners, providing service to clients, and conducting research to inform policy and practice. Meeting these responsibilities requires differentiated faculty, including both tenure-track and non-tenure track appointments. Although there is expectation for high achievement and excellence across all appointments within the NSOE, it is acknowledged that the very nature of these appointments precludes the application of a uniform set of rules for reappointment and promotion. The purpose of this document is to provide guidelines for the reappointment, tenure, and promotion of faculty members who hold tenure-track appointments in the Neag School of Education.

#### **Introduction to PTR Procedures**

The Neag School of Education endorses the general university criteria of teaching, scholarship, and research as stated in the University Policy on faculty professional responsibilities. According to University policy:

“The University serves as a center for research, dedicated to excellence in higher education, and fulfillment of its land grant status. The University is committed to meeting the educational needs of its undergraduate, graduate, professional and continuing education students, and gives its faculty the means to employ and develop their intellectual

capacity through teaching, research, and interaction with society. Through the integration of teaching, research, and service, the faculty provides an outstanding educational experience for each student. The University serves the state and its citizens in a manner that enhances the social, cultural, and economic well being of its communities. It gives leadership in the pursuit and dissemination of knowledge to all its constituents, recognizing that the continual creation and transmission of knowledge and lifelong learning are essential to Connecticut's future in a global context.” (University Policy: Policy on Faculty Professional Responsibilities, preamble, introduction, effective 1/2/2004, available at <http://www.policy.uconn.edu/>)

The policies and guidelines developed by the NSOE and detailed in this document reflect this University policy.

### **I. Re-appointment, Tenure, Promotion**

In accordance with University of Connecticut policy, the granting of tenure and the promotion of a professor in rank are based in part on an individual's scholarly distinction and promise. Therefore, the evaluation process must confirm that the faculty member has established and is likely to maintain a distinguished record of academic achievement that is the foundation of the candidate's national and/or international reputation. It is also expected that the candidate will have distinguished him/herself in teaching and in service to the University, the School, the Department, and the profession.

Evaluations at all levels are judged on their merit and in relation to School and University expectations and not in comparison to others in the Department or School with tenure. Within the criteria for earning tenure is recognition of the diverse contexts and disciplines within which scholars in the Neag School are establishing their reputations. It is further noted that: “Specific evidence of superior performance in scholarship and in teaching is of primary importance. As a minimum standard for tenure and/or promotion, there must be evidence of strong performance in

both scholarship and teaching and superior achievement in at least one of these areas. In addition, other contributions to the University will be considered. “In individual cases where it is demonstrated that there has been meritorious professional service through which the faculty member has achieved distinction in the profession, such service may also received significant weight” (University Bylaws, 2011, p. 30). Distinguished service, although an important and required component, will not result in promotion and tenure without the expected performance in teaching and scholarship.

#### A. Tenure with Promotion to Associate Professor

To be considered for tenure with promotion in rank, a faculty member must have demonstrated research ability and commitment to ongoing research, have a strong teaching record, and be recognized as a helpful and valued colleague who has conscientiously performed needed service within the academic and professional communities. Only those persons showing promise of continuing achievement in all three areas of research, teaching, and service will be tenured.

Tenure for a new hire in the Neag School of Education with no prior credit in rank is expected to become effective in the fall of the seventh year. This follows the evaluation of the candidate’s application for tenure conducted during the sixth year of service at the University. Therefore, the evaluation process for the tenure decision is initiated at the beginning of the candidate’s sixth year.

For a new hire with no prior credit in rank, promotion from the rank of Assistant to Associate Professor occurs concurrently with the awarding of tenure.

The timing of promotion in rank for faculty hired with prior experience is discussed and determined with the Dean at the time of hiring. Credit for time in rank must be specified in the candidate’s offer letter.

#### B. Promotion to Professor

The candidate for promotion to the rank of Professor must have a scholarly record of national/international distinction and a commitment to ongoing research in his/her field. In addition, he/she must be an effective teacher and advisor and have a record of continuous service to the University, the School, and the profession as a mature scholar. Ordinarily, promotion to



the rank of Professor follows a minimum of five years of service in the rank of Associate at this university or elsewhere. The application for promotion to the rank of Full Professor may be submitted in either the fifth year as an Associate or in a subsequent year as determined by the candidate in consultation with the Department Head.

## **II. Annual Re-Appointment Review**

### **A. Years 1 – 5, Annual, One-Year Reappointments - Prior to Applying for Tenure and Promotion in Rank**

The annual, re-appointment review of non-tenured faculty in a tenure track position provides indication of the candidate's progress in meeting expectations for tenure with promotion at the University of Connecticut. The goal of the annual review is to facilitate faculty development and progress, and the content of the PTR forms are cumulative and submitted during the fall semester of each pre-tenure year. During the first, second, fourth, and fifth years, the annual review is conducted within the Neag School of Education. The reviews conducted during the third and sixth years are conducted at both the School and Provost's levels.

For the third year review, candidates may be asked to prepare a dossier, or portfolio, that contains the completed PTR form and a file containing all supporting documentation organized to reflect the content of the form in the areas of Teaching, Scholarship, and Service.

For the sixth year review, candidates must prepare a dossier that contains the completed PTR form and a file containing relevant documentation of the content of the candidate's form in all areas, Teaching, Scholarship, and Service.

## **III. General Guidelines for Tenure and Promotion**

The criteria for earning tenure and promotion are based on understandings of the different contexts and disciplines within which NSOE scholars are establishing their reputations. The criteria for evaluation detailed here are offered as guidelines only; each case is considered individually. Presented below are descriptions of expectations in relation to Teaching, Scholarship, and Service. Following this set of descriptions are more specific indicators for tenure and promotion reviews.

## **A. Teaching and Advisement**

1. **Effective Teaching and Advisement.** Effective teaching and advising are fundamental responsibilities of each faculty member. Effective teaching involves a number of dimensions, including designing challenging courses, stimulating intellectual curiosity and a sense of inquiry in students, and motivating learners. Important factors for teaching in a research university are the integration of research and teaching, the inclusion of the latest research findings, and the ability to balance theoretical aspects with practical applications.
2. **Indicators/ Evidence Effectiveness.** Superior teaching and academic advisement at all instructional levels are essential criteria in tenure and promotion decisions. The general assessment to be applied is that the faculty member is engaged regularly and effectively in teaching and advisement activities of high quality and significance. The responsibility for the evaluation of teaching performance rests on the academic department of the faculty member. The evaluation of teaching and advising should include formal university evaluations completed by students and evaluations of the Department Head and/or other supervisors or peers who observe the faculty member's teaching and interactions with students and provide written comments following class observations.

## **B. Scholarship**

The University of Connecticut is a research university, and consequently, scholarship is a highly valued factor in awarding tenure and promotion. Scholarship and research are defined as creating and disseminating new knowledge. High quality scholarship makes a significant contribution to the knowledge base that informs policy, practice, teaching, and/or research in a field of study. Faculty members are expected to produce a body of work that reflects a defined and coherent research focus, and it should reflect the candidate's unique contributions. In addition, because of the importance of external

funding in promoting research in the School, efforts and success in securing grants, and/or other forms of external funding, are also considered highly important. If funding sources in a given area are limited, it is anticipated that the faculty member will seek collaborative opportunities for grant funding.

1. Publication expectations vary among the disciplines represented in the Neag School, and therefore, the nature and importance of the candidate's scholarship are considered from both a qualitative and quantitative perspective. Likewise, the quality of grant proposals, the number of grants submitted and/or secured, the agencies to which proposals are submitted, and the amount secured are considered in the context of the candidate's discipline and available opportunities.
2. Indicators/Evidence of Research and Scholarship. The primary indicators of scholarly products include publications of monographs, books, textbooks, edited books, book chapters, and papers in scholarly, refereed, professional journals of high quality; the development of software, products, or electronically published material reflecting quality scholarship; and distinguished performances in the creative arts. Research grants solicited and those awarded on the basis of scholarly merit are also considered indications of scholarship.
  - a. The quality and influence of a candidates' scholarship is of utmost importance in assessing scholarly potential. The academic reputation of the journal (or other dissemination outlet) is a key indicator of quality and influence. The dossiers of successful tenure candidates should contain a reasonable proportion of single or lead author pieces in highly respected journals in the field. Specific indicators of demonstrable influence may be found in sources such as Scopus, Google Scholar, the Social Sciences Citation Index, PubMed, and assessments of scholarship by external reviewers.
  - b. The scholarship must cohere around a distinct area, or related areas, of study, and this work should reflect the candidate's unique contributions. This coherence will be

described in the candidate's discussion of scholarly goals and activities (PTR form).

- c. Other evidence of research and scholarship include, but are not limited to: presentations and papers delivered at academic meetings, published conference proceedings, invited presentations for academic audiences, invited book chapters or similar contributions, publications in non-refereed sources serving significant audiences, special awards, or recognition for scholarship or creative productions.
- d. The candidate's report of external funding (proposed and /or secured) will be considered in the context of the candidate's discipline and available opportunities. Grants and external funding resulting from individual and/or collaborative efforts are desired and valued activities.
- e. The cumulative scholarly work should provide evidence that the faculty member is a scholar in his/her field gaining national and/or international recognition. Therefore, the Department Review Committee, the Department Head, the Dean's Advisory Review Committee and the Dean should base their annual reappointment feedback and decision on evidence that the faculty member's scholarly productivity is on a trajectory to attain national prominence within the five year probationary period.

### C. Service

Faculty members who are candidates for promotion should have an established record of commitment to the University, the School, the Department, the profession, and the field through participation in service activities.

#### 1. Service Activities

- a. Service to the University, the School, and the Department is deemed essential to develop and maintain a high quality professional school and premier university. Hence, all faculty members are expected to share responsibilities and perform competently in such functions.

- b. Professional service refers to the contributions that faculty members make to the functions of the professional societies to which they belong and to the profession more broadly. Service to the profession includes, but is not limited to, offices held and committee assignments performed for professional associations and learned societies, contributions to the organization and presentation of professional conferences, editorships and the review of manuscripts for an association's publications, review of grant applications, memberships on panels, or the elected member of committees. Service activities that enhance the candidate's national reputation in scholarship include editorial boards and grant review panels.
  - c. Service to the field and society involves the application of professional skills and knowledge to benefit communities, schools, related educational agencies, and the public. Relevant public service activities include, but are not limited to: presentations/workshops for educators and related service providers; participation on advisory boards; presentations/workshops for parents or community groups; consultation and technical assistance, performance of clinical activities in related settings (e.g., hospitals and clinics).
  - d. Meritorious professional service through which the candidate has achieved distinction in the profession may receive considerable significance in the review.
2. Indicators/Evidence of Service Contributions.
- a. Every faculty member is expected to participate in the conduct of his/her department, the Neag School, and the University; in appropriate professional organizations in his/her academic field; and in professional service to schools and other agencies of the community. Evidence of a faculty member's productivity is manifested by the extent to which he/she participates on standing committees at the department, college, and university levels; contributions to professional associations; provides service to the broader field and society.
  - b. The level, frequency and stature of participation will be considered.

## IV. Criteria Applied for Promotion to Associate Professor with Tenure Review

### A. Teaching

#### 1. Criteria

- (a) **High quality teaching** as evidenced on university-administered student evaluations of teaching and/or direct observations of instruction by administrators or peers. Student ratings are expected to meet, or exceed, the criteria established for the Neag School of Education faculty (8+ on the current system; benchmarks will be established for the new system once it is operational and results can be reviewed). The judgment of teaching performance may be flexible and take into account such factors as the type of course and the number of class participants. For example, university studies have revealed that lower evaluations may be expected from large, undergraduate classes (Institute for Teaching and Learning). In the case of a history of low teaching evaluations, the faculty member should present documentation of steps taken to improve his/her teaching (e.g., working with the Teaching and Learning Center) and show improvement in student ratings over time.
- (b) **Student Advisement.** Faculty members are expected to advise students at all levels. Effectiveness involves the ability of the faculty member to develop collaborative relationships with students, respond to questions and provide information, and help students with a range of academic issues such as developing a plan of study, selecting an advisory committee, negotiating the degree completion process, or applying for an academic job. Faculty members are also expected to chair and direct committees as appropriate for their program (e.g., doctoral, master's, honor's). Department Heads provide evidence of effectiveness in academic advising by seeking feedback from students and by asking faculty members to describe the academic advising they provide students.
- (c) **Teaching Innovation and/or Curriculum Development** activities as appropriate, e.g., original and/or unique innovations to enhance teaching and content in an existing

course, the enhanced use of technology, development of new courses, or contributions to the revision of programs (including clinical/patient activities) and related curricula. Evidence of quality in curriculum innovation and development is shown by program or department review of course syllabi and external reviews of programs by experts in the field (e.g., an accrediting body).

## **2. Candidate's Documentation of Teaching and Advising Performance**

Suggested types of evidence the candidate may present include the following.

- (a) The University's formal evaluations of teaching collected over time and presented chronologically.
- (b) Written statement of philosophy of teaching and goals relative to instructional responsibilities with reference to course development and instructional activities, including independent studies, as appropriate (presented in the Provost's PTR form).
- (c) Description of any activities undertaken to enhance instruction.
- (d) Description of any original and/or unique innovations developed to enhance the delivery, the content, or the evaluation of an existing course; or description of the development of new courses designed to meet the demands in the field or contribute to the revision of programs or curricula.
- (e) Course syllabi with indication of innovations/curricula enhancements, etc.
- (f) Written summaries of observations of teaching conducted by administrators, supervisors, or peers.
- (g) Published materials related to instruction, e.g., instructional strategies, course design, curricula.
- (h) Evidence of special recognition from within or beyond the University for teaching.
- (i) Counts of advisees as indicated on the PTR form; evidence of successful mentoring and advising of advisees, including participation on doctoral committees as the major advisor.
- (j) Evidence of special recognition from the University for outstanding advisement activities.

## **B. Scholarship**

### **1. Criteria**

The primary criterion for assessing scholarship is the contribution made by the candidate to his/her discipline and the development of an emerging national reputation.

**(a) Publications.** Peer-reviewed publications in reputable journals or books in the candidate's field are the most important indicators of scholarship. Normal expectations for a faculty member are to produce, on average, two refereed journal articles per year published, or verified in-press, when reviewed for tenure and promotion to Associate Professor (typically in the sixth year). Co-authored work is valued; additionally, there is an expectation that the candidate will be the first author on half of the articles and will be striving to publish in the most highly regarded, peer-reviewed journals in the candidate's field. Faculty research will be evaluated on its quality as well as its quantity. The quality of the journal will be confirmed at the department/program level with appropriate indicators identified.

**(b) Coherent Focus.** The scholarship must cohere around a distinct area, or related areas, of study and reflect the candidate's unique contributions.

**(c) National Prominence/ Scholarly Influence.** Total number of publications notwithstanding, the quality and influence of a candidate's scholarship is of utmost importance in assessing scholarly potential. The academic reputation of the journal, or other dissemination outlet, is a key indicator of quality and impact. The dossiers should include a reasonable proportion of single or lead author pieces in highly respected journals in the field. In addition, publications (e.g., books, edited books, chapters in influential books, articles in non-refereed sources, etc.) that have documented and significant impact on policy and practice and presentations at reputed national or international conferences constitute evidence of scholarship as well as evidence of an emerging national reputation.

**(d) External Funding.** Research grants solicited (individually and/or collaboratively) and those awarded on the basis of scholarly merit will also be considered indication of scholarship. The candidate's record of external funding will be considered in the context of the candidate's discipline and available opportunities.



- (e) **Other.** Other evidence of scholarship includes presentations and papers delivered at academic meetings (refereed), published conference proceedings (refereed) invited presentations for academic audiences, invited book chapters, and special awards or special recognition for scholarship or creative productions.
- (f) **External Review.** The written evaluations secured by the Department Head from recognized scholars in the field are critical in the assessment of scholarship and national reputation. (Procedures for securing these external reviewers are detailed below.)

## 2. Candidate's Documentation of Scholarship

- (a) Suggested types of evidence the candidate may present include all categories of Scholarship and Creative Accomplishments included on the Provost's PTR form, entered in reverse chronological order.
- (b) When compiling a file of scholarship, include one copy of each entry, or publication, organized by category.

## C. Service

### 1. Criteria

Faculty members are expected to engage in service to the Department, the School, and the University, and the profession.

- (a) **Service to the University.** Evaluation of service to the Department, School, and University will include the type of committee, role of the candidate, amount of time serving, and the quality of contributions. Evidence of a faculty member's productivity is manifested by the extent to which he/she participates on standing committees (e.g., the Curriculum Committee) at the department, college, and university levels. The level, frequency and stature of participation will be considered.
- (b) **Service to the Profession.** Evaluation of service to the profession will take into account the type of work, level of commitment, time requirements, and role of the individual. In some cases, service to the profession may be viewed as evidence of an emerging national reputation (e.g., being appointed as an editor or associate editor of a prominent journal).

(c) **Service to the Field and Society.** Evaluation of service to the field and/or society will account for the type of contribution, time commitments, and contributions resulting from engagement in service activities benefitting entities beyond the university.

## 2. Candidate's Documentation of Service Contributions

Expected evidence of quality service contributions will include the following.

- (a) Participation as requested on committees at the Department, School, and University levels.
- (b) Contributions to the professional community as evidenced by committee work, conference contributions, editing work, and/or elected offices as appropriate for an individual's professional affiliations.
- (c) Contributions to the professional and public communities beyond the University reflecting the individual's professional expertise.

## V. Criteria Applied to the Review for Promotion to Professor

In general, promotion to the rank of Professor requires consistent, high levels of performance and productivity in the key areas of Teaching, Scholarship, and Service, as outlined above. The candidate for promotion to the rank of Professor is expected to present evidence that he/she has gained national/international visibility and respect for excellence in scholarship. This will result from a sustained body of scholarly accomplishments and ongoing contributions to the profession.

### A. Teaching

Maintain superior teaching and academic advising.

- (a) **High quality teaching** of undergraduate and graduate courses, seminars, or practicums as evidenced on university-administered student evaluations of teaching and/or direct observations of instruction by administrators or peers. Student ratings are expected to

consistently meet, or exceed, the criteria established for the Neag School of Education faculty (8+ on the current system; benchmarks will be established for the new system once it is operational and results can be reviewed).

- (b) **Student advisement** that is responsive to and supportive of students at all academic levels will be demonstrated by the Department Head's documentation of feedback from students as well as from the candidate's description of advising activities. Ordinarily, an additional expectation will be the completion of doctoral students as the major advisor while at this university.
- (c) **Teaching Innovation and/or Curriculum Design** demonstrating commitment to developing current and relevant courses informed by the literature and meeting the needs of the profession. Evidence may include visionary contributions that involve the design of new courses or series of courses, development of on-line courses or programs, or innovations that enhance academic programs.

## **B. Scholarship**

Engaged continually and effectively in scholarly and/or creative activities of distinction, the candidate will be expected to present a sustained body of scholarly accomplishments garnering a substantial, respected national/international reputation.

- (a) **Publications.** Scholarly products that are published following rigorous peer-review processes are the most highly valued forms of scholarship in the promotion review process. As a guideline, candidates are expected to publish, on average, two peer-reviewed articles in premier journals, or books in their field, including several that are recognized to have been major contributions to the literature in the candidate's field. Other indicators of productivity include a substantial number of first-authored publications (articles, authored/edited books, textbooks, or book chapters).
- (b) **Scholarly Influence.** The scholarly influence of the candidate will be confirmed by written evaluations of scholarship secured by the Department Head from recognized scholars in the candidate's field.
- (c) **External Funding.** The candidate will have secured grant funding and/or external support for the candidate's scholarly work. The candidate's record of external funding will be considered in the context of the candidate's discipline and available

opportunities..

**(d) Other.** Other evidence of scholarship may include presentations and papers delivered at academic meetings (refereed), published conference proceedings (refereed) invited presentations for academic audiences, invited book chapters, and special awards or special recognition for scholarship or creative productions.

### **C. Service**

Faculty members are expected to have established records of sustained, important service to the Department, the School, the University, the profession, and society. At this level, candidates will be expected to have been actively engaged in a wide range of service activities with more prominent leadership roles in all undertakings (University, School, Department, state, national, international, professional, field based).

### **D. Significant/Diverse Roles**

Decisions about promotion to professor should take into account any special circumstances that may result from the faculty member's role(s) as an administrator/manager of programs in his/her academic area and the demands of these programs. However, this work alone (e.g., administrative responsibilities) will not qualify a faculty member for promotion to Professor in the absence of substantial accomplishments in Teaching, Scholarship, and Service as discussed above.

## **Preparation for Review**

The preparation for promotion and tenure is described in *University Policy: Policy on Faculty Professional Responsibilities* and the Provost's Office guidelines *Promotion, Tenure, and Reappointment (PTR)*.

Materials for the progress toward tenure are cumulative and submitted yearly in all pre-tenure

years.

The third year review is designed to provide a cumulative and comprehensive review of the faculty member at the beginning of the third year as a way to monitor prospects for success with the tenure process. The primary focus of the third year review is the annual report completed by the faculty member presenting evidence confirming substantial progress in the evaluation criteria (Teaching, Scholarship, Service).

The sixth year review of tenure-track faculty is the tenure/promotion decision year.

### The Formal Review Process

Following is an abstracted overview to inform faculty members of the steps and specific committees involved in the annual review process. For a more complete set of procedures and details of the process, see the Provost's website for Promotion, Tenure & Reappointment Procedures ([provost.uconn.edu/ptr](http://provost.uconn.edu/ptr)).

- The candidate completes the University's PTR form and submits this form with supporting documents by the published deadline (established annually by the Provost). These documents become the faculty member's dossier. (See suggestions for this file of materials, below.)
  - The Department Head secures external references when this is appropriate (i.e., during the tenure and promotion decision year).
  - The faculty member creates a file to display a comprehensive set of materials supporting his/her tenure and/or promotion review. Contents are organized to reflect the faculty member's evidence in Teaching, Scholarship, and Service.
  - The faculty member may add to his/her PTR file at any time during the reviews by the Department Committee and the Dean's Advisory Committee by bringing materials to the department head who will inform the committees of new materials in writing; no materials may be removed from the file.
- The PTR form for each individual is reviewed by the Department PTR Advisory Committee, which advises the Department Head on promotion, tenure, and

reappointment and submits a letter summarizing the Committee's evaluation and vote on the faculty member's candidacy (for reappointment, tenure, and/or promotion).

- The Department Head completes his/her evaluation and submits the candidate's PTR file and related materials to the Dean's office.
- The Dean's Advisory Council on PTR reviews the faculty member's PTR file and appraises the performance and potential for teaching, scholarship, creative accomplishments, and service of the individual under consideration. The Council's evaluation of each individual is summarized for the Dean in a written report that includes the Council's vote.
- The Dean writes his/her evaluation and submits all necessary forms and supporting documents to the Provost for his/her consideration and final determination.
- The Provost's decisions are communicated to and acted upon by the Board of Trustees annually.
- The University also has a Faculty Review Board that is asked by the Provost to consider individual, specific cases on PTR. The composition and work of the Faculty Review Board is detailed in the Provost's document on PTR.
- The Provost determines specific timelines annually in accordance with the date of presentation to the Board of Trustees.
- Under Connecticut Freedom of Information statutes, candidates have access to their files and to the recommendation letters.

#### External Letters

Four or more, preferably six, external letters from individuals of national stature in the candidate's area of expertise who do not have a conflict of interest with the candidate (e.g., former mentor, frequent collaborators) are required for those pursuing tenure and/or promotion in rank at any level.

These letters should be solicited by the Department Head and should be from individuals who hold professorial rank at or above that to which the candidate aspires. In no case should letters be sought from individuals who served as faculty advisors, teachers, or mentors during a candidate's program of graduate or undergraduate study. Although candidates may be asked for

names of professional colleagues who might serve as evaluators, candidates should not contact potential reviewers directly and should not reveal to the potential reviewers that they have been recommended to the Department Head. The Department Head is free to contact 2 persons recommended by the candidate, and he/she chooses an additional 4 or more.

#### Dossier of Materials

The faculty member's PTR dossier consists of his/her PTR form and all supporting documents. When a candidate prepares a file of supporting materials for the years when tenure and/or promotion decisions are considered, the content will ordinarily consist of documents related to the following:

- Personal Information
  - Candidate's curriculum vita
  - Candidate's written statement
- Teaching
  - University student evaluation reports
  - Special teaching awards
- Scholarship
  - Copies of all published materials listed on the form (books, book chapters, monographs, articles, curriculum materials, etc.)
  - Manuscripts in-press
  - Manuscripts submitted for review or in preparation
- Service
  - Special accomplishments
  - Special projects

#### Special Policy

The University has an established policy of adjusting the tenure clock for individuals taking a leave for a FMLA-qualifying event (birth, adoption, foster placement of a child; a faculty member's serious illness or injury; a serious illness or injury to the faculty member's child, spouse, or parent). The tenure clock is automatically adjusted by one year based on the leave paperwork indicating the qualifying event. The tenure clock will be automatically stopped no more than twice for qualifying events. More specific information is found at [www.uconn.hr.edu](http://www.uconn.hr.edu).

# NEAG SCHOOL OF EDUCATION UNIVERSITY OF CONNECTICUT

## Policy, Procedures, and Criteria

### Appointment, Review, and Promotion of Non-Tenure Track Faculty

#### INTRODUCTION

The contractual specifications for the employment of non-tenure track faculty are detailed in the Collective Bargaining Agreement between the University of Connecticut Board of Trustees and the University of Connecticut Chapter of the AAUP. The Neag School of Education's non-tenure track faculty includes both In-residence staff with the contractual privileges specified in Article 13, Members of the Unit Not in a Tenure Track, and staff members hired with the contractual privileges detailed in Article 26, Temporary Employees (see the Collective Bargaining Agreement).

These individuals are integral to the development and presentation of high quality programs for the preparation of pre-service educators and professionals in education, kinesiology, and physical therapy at both the undergraduate and graduate levels. In addition, they are essential to the development and outreach of the School's premier programs and delivery of special service to the Neag School, to clients (e.g., through the Nayden Clinic), and to school systems with which they liaison (e.g., Professional Development Schools). The guidelines for the appointment, review, and promotion of Non-Tenure Track Faculty reflect the mission of the NSOE.

The purpose of this document is to present the Neag School of Education's evaluation procedures for all non-tenure track faculty. More specifically, this document details the procedures and criteria for non-tenure track faculty to secure both reappointments and promotions.

#### PROCEDURES AND CRITERIA

##### **Members of the Unit Not in a Tenure Track, Article 13 and Temporary Employees, Article 26**

Per Article 13, titles for staff members in non-tenure tracks include

Extension Professor

Lecturer

Academic Assistant

Associate Extension Professor

Assistant Extension Professor

Extension Instructor



Faculty with In-Residence Titles:

Professor in Residence  
 Associate Professor In Residence  
 Assistant Professor In Residence  
 Instructor In Residence

Per Article 26, titles used for temporary, non-tenure track faculty in the NSOE include:

Research Professor	Visiting Professor	
Associate Research Professor	Visiting Associate Professor	
Assistant Research Professor	Visiting Assistant Professor	
Research Instructor	Visiting Instructor	
Clinical Professor	Research Scientist	Research Scholar
Associate Clinical Professor	Associate Research Scientist	Associate Research Scholar
Assistant Clinical Professor	Assistant Research	Assistant Research Scholar
Clinical Instructor	Senior Research Scientist	Senior Research Scholar

Position Descriptions

Members with the ranks of Professor, Associate Professor, Assistant Professor, Instructor, Lecturer:

Non-tenure track employees with these ranks have the contractual privileges detailed in Articles 13 and 26 and are required to complete one probationary year of employment followed by five years of annual review and one-year reappointment. Following this initial six years of annual, one-year reappointments, multi-year appointments are offered, and these are ordinarily reappointments of three to five years. Each faculty member with the rank of Assistant, Associate, or (Full) Professor holds a doctoral degree in an area appropriate for the position and is assignment to a department appropriate for his/her academic and service responsibilities. The individual's rank is based on both years of service and an established record of accomplishments in relation to the position. The term visiting signifies the temporary nature of the position and most often relates to the temporary duration of funding.

An example of the reappointment schedule for all non-tenure track faculty members eligible for more than three years of employment is as follows:

Year 1	2012-2013	Probationary Year
Year 2	2013-2014	1 <sup>st</sup> Reappointment Year
Year 3	2014-2016	2 <sup>nd</sup> Reappointment Year
Year 4	2015-2016	3 <sup>rd</sup> Reappointment Year
Year 5	2016-2017	4 <sup>th</sup> Reappointment Year
Year 6	2016-2017	5 <sup>th</sup> Reappointment Year
Year 7	2017	Begin a multi-year appointment (ordinarily 3 to 5 years);

Year 10	2019 -2020	3 years in this example; 2017-2020) Submit papers for review for the next multi-year appointment (3 years in this example)
Year 1	2020	Begin a multi-year reappointment (ordinarily 3 to 5 years; 3 years in this example; 2020-2023)

### Clinical Faculty Members

**Clinical Instructor:** A non-tenure track employee granted the contractual privileges detailed in Articles 13 and 26. Each clinical instructor is expected to complete an initial probationary year of employment followed by five years of annual review and reappointment. Following this initial six years of annual one-year reappointments, a three-year appointment is ordinarily offered. The term clinical faculty identifies the instructors on staff who serve as clinicians at the Nayden Rehabilitation Clinic as well as instructors teaching courses for any other NSOE department. This instructor holds a Master's degree. In most fields in education, the clinical instructor does not hold a terminal degree in an academic area appropriate for the School of Education position.

**Assistant/Associate/Full Clinical Professor:** A temporary, non-tenure track employee granted the contractual privileges detailed in Articles 13 and 26. Each clinical professor (all ranks) is required to complete an initial probationary year of employment followed by five years of annual review and reappointment. Following this initial six years of one-year appointments, a multi-year appointment is offered, and these are ordinarily for three years. This faculty member holds a doctoral degree in an area appropriate for the position and is assignment to a department appropriate for his/her academic responsibilities. The individual's rank is based on both years of service and an established record of accomplishments in relation to the position. *In general, Clinical faculty (all ranks) most often have defined responsibilities that do not parallel the responsibilities of tenure track faculty.*

### **Appointment of Non-Tenure Track and Temporary Faculty**

At hiring, each non-tenure track faculty member receives written documentation of position responsibilities in a letter of appointment. Because the responsibilities of these faculty members vary greatly from individual to individual and from department to department, the letter of appointment delineates the terms and conditions of the position, the job load, and the expectations of the faculty member. The roles of non-tenure faculty, for example, may include, but are not limited to: research activities; undergraduate and graduate instruction; clinical instruction/education; director of programs; director of field placements for teacher education programs; supervisor of student teaching; internship coordination; physical therapy classroom instruction; physical therapy clinical instruction and service, including patient care. It is noted

that position responsibilities may be modified through an amendment approved by the Dean, the Department Head, and the non-tenure track faculty and attached to the faculty's letter of appointment.

### **Reappointment in the Neag School of Education**

Appointments are renewable depending on successful, formal, ongoing review and available funding. Reviews are conducted according to the University's established PTR schedule and review processes (i.e., at the Department and School levels) as determined by NSOE Dean and Department Heads.

Reviews are conducted annually for the first six years of employment; and thereafter, reviews are conducted to coincide with the renewal of reappointment year.

### **University Procedures Guiding the Reappointment Process of Non Tenure-Track and Temporary Faculty/Staff**

The following policies and procedures guide the Neag School of Education's process for conducting evaluations of non-tenure track faculty.

Annual reappointment reviews of non-tenure track faculty are conducted within the Neag School of Education at the department and school levels.

The Provost does not review the annual reappointment of non-tenure track faculty, except for those faculty members not in the tenure track solely due to immigration restrictions. Formal review of non-tenure track faculty is conducted by the school/college, with reappointment determined by satisfactory performance and the availability of funding. Appointment letters should be issued annually upon confirmation of support for the next fiscal year. (See the Provost's Official Website, [http:// www.provost.uconn.edu/ptr](http://www.provost.uconn.edu/ptr)):

#### Promotion of Non-tenure Track Faculty Members

*The promotion of non-tenure track faculty requires a review and recommendation at all levels including the Provost.*

Non-tenure track faculty who are evaluated for promotion and reappointment do so with the understanding that such procedures do not lead to tenure.

### **Overview of the Reappointment Process**

Reviews for reappointment and/or promotion of non-tenure track faculty are based on the *terms of the appointment as indicated in the individual's offer letter*. In general, the criteria for

reappointment reflect expectations that include considerations of teaching, scholarship, service, and administrative duties. The expectations and criteria are adjusted as applicable.

Greater responsibility is given to the Department Heads to work with the individual faculty to develop goals and criteria for advancement within the position. This results from the diverse range of responsibilities and activities observed across the School. For example, many Clinical Professors (all ranks) have primary responsibilities in areas of teaching (i.e., 4 courses per semester), and their reviews should focus more intensely on the criteria for teaching performance. Some Research Professors focus exclusively on activities related to research and may not have teaching responsibilities. Therefore, the evaluation of their performance will focus specifically on research/scholarship with the exclusion of all criteria for teaching. Clinical Instructors provide direct supervision to students giving care to patients (Nayden Clinic) or have productivity expectations while delivering the highest quality care (Nayden Clinic); their evaluations should focus on related criteria.

Although adjustments may be expected for individuals, the following criteria are detailed in relation to teaching, research, service, and administration/management – the broad categories of evaluation considered for tenure track faculty – in order to accommodate the diverse range of job responsibilities assumed by the non-tenure track faculty employed in the Neag School of Education.

One note is that the expectations for scholarship among temporary faculty reflect unique, job-related considerations. For example, it is anticipated that clinical faculty will be engaged most often in scholarship related to practice (defined as professional scholarship) rather than in research conducted to create new knowledge, although temporary faculty may certainly engage in such scholarship.

It is also noted that non-tenure track faculty with teaching loads adjusted to allow for research and service (e.g., a 2 – 2 teaching load) will be evaluated across all areas of responsibility (teaching, scholarship, service).

### **General Guidelines for the Review of Non-tenure Track Faculty**

The following guidelines are intended to serve for both the annual re-appointment reviews and the promotion in rank decisions.

The candidate will follow the process for submission of materials detailed in the Provost's guidelines, *Promotion, Tenure, and Reappointment (PTR) Procedures*, and complete the University's PTR form adhering to the annually posted timelines for submission of materials for each annual review, each multi-year reappointment, and/or a review for promotion in rank.

Reviews include considerations of teaching, scholarship, service, and administrative duties as appropriate to the candidate's job description and responsibilities. Therefore, it is anticipated

that candidates will have varying profiles and perhaps limited performance indicators for areas that are not considered their primary responsibility. Excellence in performing all job responsibilities is expected. The following outline presents general expectations in the areas of teaching, scholarship, service, and administration.

## I. TEACHING

### Teaching Expectations/Criteria

Effective teaching is a fundamental responsibility of each faculty member assigned teaching responsibilities. Effective teaching involves a number of dimensions, including designing challenging courses, stimulating intellectual curiosity and a sense of inquiry in students, and motivating learners. Important factors for teaching in a research university are the integration of research and teaching, the inclusion of latest research findings, and the ability to balance theoretical aspects with practical applications. Suggested teaching criteria include the following:

- (a) High quality teaching is expected in all contexts, including academic classrooms and clinical settings (e.g., the Nayden Clinic). It is expected that all course related materials (syllabi, grading, etc.) are completed in a timely manner and are consistent with Department and NSOE Standards.
- (b) Student Advisement expectations are set by Department Heads. Non-tenure track faculty with the ranks of Assistant/Associate/Professor may serve on Master's and Ph. D. committees and such appointments must follow the guidelines of the University of Connecticut Graduate School.
- (c) Teaching Innovation and/or Curriculum Development activities as appropriate (e.g., original and/or unique innovations to enhance teaching and content in an existing course (e.g., enhanced use of teaching technology), development of new courses, or contributions to the revision of programs (including clinical/patient activities) and related curricula.

### Evidence of Teaching Performance and Related Activities

Suggested types of evidence the candidate may present include:

- (a) Formal evaluations of teaching, including university-administered student evaluations of teaching that meet, or exceed, the criteria established for Neag School of Education faculty (overall ratings at or above the School mean) and any direct observations of instruction by peers or administrators. Some adjustments in student evaluation scores (i.e., the numerical score) may be expected for class settings that include large numbers of participants (50+).
- (b) Evidence of the specific nature of teaching activities (seminars, lectures, laboratories, workshops, other) and a written statement detailing teaching philosophy (presented in the formal PTR form).

- (c) Evidence of any steps individuals have taken to improve their instructional effectiveness (e.g., participated in development programs for faculty).
- (d) Description of the integration of any teaching innovations (e.g., technology), development of new courses, or contributions to the revisions of programs.
- (e) Documentation of the dissemination of instructional innovations (e.g., presentations at conferences) or specific materials developed by the individual for the benefit of the program (e.g., new program evaluation forms, a new student handbook, etc.).
- (f) Communications from students regarding courses.
- (g) Nominations and/or conferrals of teaching awards.

## II. SCHOLARSHIP

### Scholarship Expectations/Criteria

- (a) Contributions that may be regarded as professional scholarship are expected. Professional scholarship is defined as intellectual/creative/scholarly accomplishments and leadership related to the individual's teaching or professional practice (teacher education or physical therapy). Examples include teaching materials, technology, program evaluation reports, technical reports (often data-based), or strategies developed by the individual that make a special contribution to the field. Such products must be accessible to the larger educational/physical therapy community and must have impact on the field.
- (b) Any contributions to grant development, writing, and implementation (given that these are applicable to the mission of the School) are also considered important indicators of scholarship.
- (c) Any contributions to the Neag School that involve any type of data collection and analyses and that result in providing information beneficial in program evaluation (for local and national reports), in seeking student/alumni/faculty input (or satisfaction), or in guiding decision-making.
- (d) The quantity of scholarly products will be impacted by the faculty member's job responsibilities (i.e., teaching 4 courses a semester, assuming extensive clinical supervision, administering program components, etc.). Therefore, a specific number cannot be pre-determined. Rather, progress and promise in scholarship will be judged by the Department Head with input from the Department Review Committee. For those individuals with 2/2 teaching loads, it is expected that the research and scholarship productivity will match the expectations of tenure track faculty.

### Evidence of Scholarship

Suggested types of evidence the candidate may present include:

- (a) Publication, or presentation, in either peer or non-peer reviewed outlets/sources:
  - a. Authored/co-authored articles in practitioner or research journals;
  - b. Authored/co-authored textbooks, books, chapters relevant to the job description;
  - c. Peer-reviewed manuscripts published in respected electronic journals, or presented at conferences (including poster presentations);
  - d. Dissemination of materials, methods, or procedures relevant to the job description (e.g., web or video-based);
  - e. Presentations at local, state, national, international conferences;
  - f. Invited presentations;
  - g. Collaborative research and grant writing activities;
  - h. Grant development, or application for external funding opportunities, as appropriate;
  - i. Technical reports.
- (b) Fellowship in a professional organization.

### **III. SERVICE**

#### Service Expectations/Criteria

The expectations for participation in service at the Clinic, Department, School, and University levels by non-tenure track faculty are circumscribed by the role and responsibilities of each individual and are specified on an individual basis by the Department Head.

- (a) Generally, participation on one committee/working group at the Clinic, Department, School, or University level when requested by an administrator is expected.
- (b) Service to the profession is valued and may include participation on state, regional, or national committees, editorships for journals, peer reviewing activities for conference programs, journal publications, grant reviewing panels, participation on State Department of Education committees, chairing sessions at conferences, and other similar responsibilities.
- (c) Service may also include special support offered to the professional and public community beyond the University. Examples of such activities include special projects with public schools or community outreach.
- (d) Collaborations between non-tenure track faculty and tenure track faculty that produce substantive delivery of service are also valued.

### Evidence of Service Contributions

Although dependent upon the position and job responsibilities, expected evidence of quality contributions will include the following:

- (a) Participation as requested on committees/working groups at the Clinical, Department, School, or University level.
- (b) Contributions to the professional community as evidenced by committee work, conference contributions, editing work, and/or elected offices as appropriate for the individual's professional affiliations.
- (c) Contributions to the professional and public communities beyond the University reflecting the individual's professional expertise.

### **IV. Administrative/Management Responsibilities**

#### Expectations/Criteria for Administrative/Management Responsibilities

The non-tenure track faculty member whose responsibilities include administrative and/or management activities will be evaluated in relation to criteria such as the following. These criteria may be modified on the basis of specific job responsibilities, which may be unique and individual.

- (a) Administration and management of clinical education and instructional initiatives directly tied to academic progress of students.
- (b) Administration and management of clinical/teacher education involving coordination of staff, coordination of activities (teacher education meetings), assignment of staff (student teaching supervisors), supervision of activities (assignment of internships).
- (c) Administration and management of NSOE outreach initiatives or administration and management of grant-related initiatives.
- (d) Contributions to activities related to program reviews, department reviews, and accreditation reviews.

#### Evidence of Administrative/Management Accomplishments

- (a) Documentation of program/unit activities and accomplishments.
  - a. Reports of clinical and instructional initiatives and impacts on students.



- (b) Development and direction of any procedural activities (e.g., materials assisting schools and supervisors with student teacher placements, evaluation, etc.).
- (c) Documented results of outreach initiatives.
- (d) Specific contributions to program reviews, department reviews, accreditation reviews.

### **Promotion to the Rank of Associate Professor (Temporary, Non-tenure Track Faculty)**

Evaluations at all levels are judged on their merit and in relation to School and University expectations and not in comparison to others in the Department or School. Within the criteria for earning promotion is recognition of the different contexts and disciplines within which the non-tenure track faculty in the Neag School are establishing their reputations.

The individual faculty member being considered for promotion in rank must have served at least six full years in rank to be promoted – with the review usually coming after the fifth year. The review for promotion from Assistant to Associate Professor (Clinical Associate Professor, Associate Extension Professor, Visiting Associate Professor) is expected to occur during the sixth year of university employment; however, it could come during a subsequent year.

In calculating years of service, allowances for leaves of absence are to reflect the University's policies. In some cases faculty with prior, relevant service at another university may be promoted before accruing six full years in rank at the University of Connecticut. This determination is established at the time of hiring.

To be considered, the candidate will complete the Provost's official PTR form, prepare a PTR file as described by the Provost and in consultation with the Department Head, and adhere to the annually posted timeline.

Reviews for promotion of non-tenure track faculty are based on the terms of the appointment. In general, the criteria for promotion include the candidate's cumulative record in relation to the general areas of Teaching, Scholarship, Service, and Administration. The evaluation of each candidate will be guided by careful consideration of *the individual's terms of employment (the primary responsibilities) and the candidate's record in meeting all terms with evidence of productivity and promise.*

The evaluation process will include securing written evaluations/letters from professionals who are appropriate assessors of the candidate's contributions, including field-based practitioners and/or administrators.

While each of the primary areas evaluated have been detailed above (Section 1), an abbreviated outline of criteria follows.

An important consideration for this promotion in rank is evidence of continued productivity and development, and the emergence of national contributions and presence.

### **Teaching**

- High quality teaching as evidenced by formal, university-administered, student evaluations that meet, or exceed, the criteria established for NSOE faculty.
- High quality student advisement and/or supervision as appropriate for the candidate's position and responsibilities (not all are required to serve as advisors).
- Documentation of teaching innovations and/or curriculum development as appropriate for the position and individual's responsibilities. These innovations or development projects are expected to contribute to the profession broadly (regionally or nationally) as evidenced by publication or presentation in appropriate, academic outlets (peer reviewed or other).

### **Scholarship**

- Evidence of professional scholarship, defined as intellectual/creative/scholarly accomplishments and leadership related to the individual's teaching or professional practice. Authorship/co-authorship of articles published in professional, non peer reviewed journals or other academic venues/ outlets.
- Authorship/co-authorship of peer-reviewed manuscripts, grant applications, books, and book chapters in respected publications or outlets (conferences and electronic journals). Peer-reviewed professional presentations (including poster presentations) and invited presentations at national, regional, state, international venues.
- Collaborative research and grant writing activities.
- Any contributions to the Neag School that involve any type of data collection and analyses that result in technical reports or summaries that inform decision-making, including program evaluation activities, and student and alumni surveys.
- Grant development, or application for external funding opportunities as appropriate, and implementation.

The quantity of such products will be impacted by the faculty member's job responsibilities (i.e., teaching 4 courses a semester, assuming extensive clinical supervision, administering program components, etc.). Therefore, a specific number cannot be pre-determined. Rather, progress and promise in scholarship will be judged by the Department Head with input from the Department Review Committee.

### **Service**

- Participation as requested on committees/working groups at the Clinical, Department, School, or University level.

- Contributions to Neag School programs, e.g., development and/or maintenance of clinical opportunities and experiences for Neag students.
- Contributions to the professional and public communities beyond the University reflecting the individuals professional affiliations.
- Contributions to the professional community as evidenced by committee work, conference contributions, editing work, and/or elected offices as appropriate for the individual's professional affiliations.

### **Administration/Management**

- Administration and management of clinical education and instructional initiatives directly tied to academic progress of students.
- Administration and management of clinical/teacher education involving coordination of staff, coordination of activities (teacher education meetings), assignment of staff (student teaching supervisors), supervision of activities (assignment of internships).
- Administration and management of NSOE outreach initiatives.
- Contributions to activities related to program reviews, department reviews, and accreditation reviews.

### **Promotion in Rank to Professor (Temporary, Non-tenure Track Faculty)**

The candidate for promotion to Professor must present an exemplary record of performance in all areas relevant to the candidate's primary area(s) of responsibility. The candidate is expected to demonstrate that he/she has acquired a national reputation, or recognition within the larger educational/professional community, in his/her principal area(s) of responsibility.

### **Teaching**

- The candidate for promotion to Professor must have an established record of excellence in teaching, as evidenced by the range of indicators for teaching and advisement detailed above, over time.
- Documentation of teaching innovations and/or curriculum development must confirm that the candidate's primary focus (e.g., on teaching or clinical practice) and demonstrated excellence (e.g., in teaching or in clinical practice) have resulted in contributions to the profession at a regional/national level.

### **Scholarship**

- The candidate for promotion to Professor must have established a national reputation through scholarly endeavors.
- This may include professional scholarship. Professional scholarship is defined as intellectual/creative/scholarly accomplishments and leadership related to practice (teacher education or physical therapy). This scholarship must be available to the larger educational community and must have impact on the field.

### **Service**

- The candidate for promotion to Professor must have evidence of sustained and ongoing service contributions to the academic, professional, and public communities.

### **Administration/Management**

- (e) Administration and management of clinical education and instructional initiatives directly tied to academic progress of students.
- (f) Administration and management of clinical/teacher education involving coordination of staff, coordination of activities (teacher education meetings), assignment of staff (student teaching supervisors), supervision of activities (assignment of internships).
- (g) Administration and management of NSOE outreach initiatives.
- (h) Contributions to activities related to program reviews, department reviews, and accreditation reviews.

## **General Guidelines for the Review Process**

### **Annual Review**

The process for the annual review is detailed in the Provost's Office guidelines, *Promotion, Tenure, and Reappointment (PTR)* which presents specific procedures and timelines. Following is an abstracted overview to inform faculty members of the steps and specific committees involved in the review process:

- Completion of the University's PTR form by the faculty member and submission of this form with supporting documents by the published deadline (established annually by the Provost). These documents become the faculty member's dossier. The faculty

member's PTR file consists of his or her dossier plus all other written materials.

- The faculty member may add to his/her PTR file at any time by bringing materials to the department head; no materials may be removed from the file.
- The PTR form for each individual is reviewed by the Department PTR Advisory Committee, which advises the Department Head on the reappointment and/or promotion decision and submits a letter summarizing the Committee's evaluation and vote on the faculty member's candidacy (for re-appointment and/or promotion).
- The Department Head completes his/her evaluation and submits the candidate's PTR file and related materials to the Dean's office.
- The Dean's Advisory Council on PTR reviews the faculty member's PTR file and appraises the performance and potential for teaching, scholarship, creative accomplishments, and service of the individual under consideration in relation to the individual's position responsibilities. The Council's evaluation of each individual is summarized for the Dean in a written report that includes the Council's vote.
- The Dean writes his/her evaluation and when/if necessary submits all necessary forms and supporting documents to the Provost.
- Under Connecticut Freedom of Information statutes, candidates have access to their files and to recommendation letters.

#### For Promotion

All steps detailed above pertain to the process and the preparation of materials supporting the candidate's application for promotion in rank. An additional set of materials consisting of supporting documents includes the following:

- Completion of the University's PTR form by the faculty member and submission of this form with supporting documents by the published deadline (established annually by the Provost). These documents become the faculty member's dossier. The faculty member's PTR file consists of his/her dossier plus all other written materials. These materials will ordinarily consist of materials supporting the following areas:
  - Personal
    - Candidate's curriculum vita
    - Candidate's personal statement

- Teaching
    - Students' written evaluations as appropriate
    - Special teaching awards
  - Scholarship
    - Copies of all published materials (books, book chapters, monographs, articles, curriculum materials)
    - Manuscripts in-press
    - Manuscripts submitted for review or in preparation
  - Service
    - Special accomplishments
- 
- The Department Head will work with the candidate to identify potential referents (4 to 5) who will be invited to submit letters. The external referents will be chosen in light of the candidate's job responsibilities, and they will be asked to comment on the candidate's performance and contributions.