

# Campus Correspondence

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WASHINGTON AND LEE UNIVERSITY

November 17, 1994

TO: Undergraduate Faculty  
FROM: John Elrod  
RE: Revision of Faculty and Evaluation Procedures

The Advisory Committee has modestly revised these procedures. The underlined revisions have been made in order to make uniform the practices of all departments regarding reappointment, promotion, and tenure reviews and recommendations.

They are effective immediately for all tenure-track faculty whose appointments begin on and after July 1, 1994. The 1990 Faculty Evaluation Procedures will continue to apply to all other probationary faculty members.

cc: President Wilson

FACULTY EVALUATION PROCEDURES  
Revised October 1994

I. INTRODUCTION

The purpose of faculty evaluation is threefold--to help members of the faculty improve their teaching effectiveness, to encourage faculty members to pursue their intellectual interests, and to provide an equitable basis for decisions regarding promotion, tenure, and salary increases.

The primary responsibility for judgment of a faculty member's professional competence as a teacher and scholar resides with the department with which the faculty member is associated. Responsibility for insuring that uniform standards are applied to all members of the faculty resides with the President's Advisory Committee. Final approval of promotions and responsibility for making recommendations for promotions and tenure to the Board of Trustees reside with the President. The tenure process will begin in the candidate's department and will go to the President via the department's academic dean and the Advisory Committee.

The following guidelines are recommended for use in all tenure cases throughout the University; however, departments or schools may wish to adapt these procedures to their particular circumstances by proposing modifications. Such local adaptations are encouraged, but all modifications will be submitted to the Advisory Committee for approval.

The process should be administered in ways that enhance the spirit of trust, community, and common purpose that enrich this University.

In this connection, it is understood that all parties will respect the confidentiality of both oral and written testimony arising in this evaluation process.

II. INITIAL EMPLOYMENT

The most important step that a department takes is the initial decision to employ a faculty member on a tenure track. A department should make a recommendation to hire an applicant only after a national search and careful analysis of the applicant's credentials and interviews. If possible, the applicant will make a presentation to students and faculty.

III. EVALUATION DURING THE PROBATIONARY PERIOD

The letter of appointment will specify whether a faculty member's appointment is to be a tenure track position; anyone who is appointed to a tenure track position is a candidate for tenure. The first objective of evaluation during the probationary period is to provide the candidate with information regarding progress toward tenure. The second objective is to inform the tenured

members of the department about the candidates' progress. For candidates in tenure track positions, emphasis during evaluation will be placed on teaching ability and intellectual activity.

Each year the Department Head will meet with the candidate to review the candidate's "annual Report on Faculty Activity" and progress toward tenure. This annual review should address specific problems and should include specific suggestions for improvement. The Department Head will summarize the results of that consultation in a letter to the candidate.

At the time of the first term reappointment, the Department Head will consult with all tenured department members regarding the candidate's progress and will summarize the consultation in a letter to the appropriate Dean with a copy to the candidate. A copy of that letter becomes a part of the candidate's file.

At the time of the second term reappointment, the candidate and the Department Head will assemble a file containing a current resume, all of the candidate's annual faculty activity reports, end-of-year evaluation letters and representative materials reflecting the current state of the candidate's teaching, intellectual activity and academic citizenship. This list is not meant to be exhaustive nor to suggest that items not mentioned are excluded. The Department Head and the candidate are encouraged to include any material that they judge to be relevant. The tenured members of the department will read the file after which the Department Head will consult individually or collectively with them. The Department Head will summarize the results of that consultation in a letter to the appropriate Dean with a copy to the candidate. A copy of the letter will be placed in the candidate's file.

#### IV. TENURE PROCEDURES

The process of making a tenure decision will normally be initiated in accordance with published time tables. Ordinarily tenure is accompanied by a promotion in rank.

##### 1. Assembling the File

The first step in the tenure process is assembling a file. It is the responsibility of the Department Head, acting in cooperation with the candidate, to prepare the file; both the candidate and the Department Head may include any pertinent material in the file.

In general, the file will contain evidence relevant to the criteria specified in the faculty handbook. The file should contain materials relevant to matters of discipline only if such matters affect a candidate's performance as a scholar or a teacher.

The Department Head may receive letters to include in the file that are submitted on condition of their remaining confidential. Such letters will be considered confidential.

The file will contain:

- A.
  1. a current resume of the candidate;
  2. evidence of teaching effectiveness;
  3. copies of the annual reports of faculty activities;
  4. end-of-year letters of evaluation;
  5. copies of any professional publications and/or evidence of artistic work;
- B. letters from each member of the tenure committee about the performance of the candidate as a scholar and a teacher.

Evidence of teaching effectiveness and scholarly activity will also include some of the following:

- a statement of the candidate's goals and methods of teaching;
- course syllabi and tests and examinations;
- unpublished manuscripts;
- reports from class visitations;
- student evaluation forms or summaries of such forms;
- letters from former students;
- letters from colleagues from within or without the department or the university.

This list is not meant to be exhaustive nor to suggest that items not mentioned are excluded. The Department Head and the candidate are encouraged to include any material that they judge to be relevant. The candidate is entitled to an inventory of the file's contents prior to its submission to the committee.

## 2. The Tenure Committee

The tenure committee, chaired by the Head of the department, will consist of all of the tenured members of the department. If a department has fewer than five tenured members, then the tenure committee will be augmented by tenured faculty drawn from outside of the department (or the University) so that the tenure committee will have at least five members, a majority of whom are from the candidate's discipline. The candidate and the Department Head will agree upon a list of twice the required additional faculty who will be competent to augment the tenure committee and the Dean will select the requisite number from the list. If a consensus cannot be reached, the Dean may proceed in consultation with the candidate and the department head to select qualified non-departmental members of the committee.

Each member of the tenure committee should review the file twice, once before the letters from the other members are included (see section 1), once after. Then the committee will meet to discuss the candidate's qualifications for tenure and will vote. After the vote, the Department Head will prepare a report stating the recommendation of the tenure committee and explaining the basis for its recommendation. The Department Head will provide the candidate with a copy of the report, and the candidate will have

the right to include in the file a response to the report. The candidate may include in this response whatever materials he or she deems pertinent. The tenure committee will review this response for such reconsideration as it deems appropriate, before the report and the file are forwarded to the appropriate Dean.

### 3. The Advisory Committee

The Advisory Committee will have nine members, the three academic deans and six faculty members. The faculty members will serve three year terms, with two rotating off each year.

The chair of the Advisory Committee will inspect the file and the report to see if they are complete, and may request that the Head of the department provide appropriate clarifying or supplemental information.

Whenever a member of a candidate's tenure committee is sitting on the Advisory Committee, he or she should not be present for the final discussion and vote on the candidate.

If the Advisory Committee judges that a departmental Tenure Committee has failed to follow the procedures described above or has employed standards which are either improper, irrelevant, or in violation of academic freedom, the chair of the Advisory Committee will refer the case back to the departmental Tenure Committee with instructions to remedy the procedural flaw, meet again and vote again on the merits of the case. The Department Head will, in writing, describe to the Advisory Committee the steps taken to remedy the flaw and explain the basis for the new vote on the merits of the case. The Department Head will provide the candidate with a copy of this report. If the Advisory Committee finds that the departmental Tenure Committee has failed to remedy the flaw, the Advisory Committee will so inform the President.

In all cases the Advisory Committee will offer the President its advice on whether the candidate should be granted tenure.

Whenever the Advisory Committee disagrees with the departmental recommendation regarding the merits of the case, the chair of the Advisory Committee will explain to the Head of the Department and to the candidate the basis of the difference. Furthermore, in such cases the President normally will arrange for an informal conference with the candidate before a final decision is reached.

### 4. The Dean's Letter

The dean will add a letter to the candidate's file after the recommendation of the Advisory Committee. The candidate's file will then be sent to the President.

V. PROMOTIONS IN RANK

The evaluation of faculty for purposes of promotion in rank will be carried out according to the guidelines for evaluation for tenure decisions with the following adjustments:

The process may be initiated, without regard to time in current rank, by the Head of the faculty member's department or by a request to the Department Head from the faculty member, the faculty member's Dean, the Advisory Committee, or the President.

When the faculty member is the source of the request, and the Department Head disapproves, the responsibility of the Department Head is only to convey the reasons for disapproval to the faculty member and to notify the appropriate Dean of the original request and the reasons for disapproval. In all other cases, the Department Head will assemble a file of materials as described in the guidelines for tenure decision, documenting levels of achievement in teaching, intellectual activity, and service appropriate to the rank.

The committee to review the file will consist of the Department Head and those members of the department higher in rank than the candidate, whatever that number may be. If no committee can be formed, the Dean will be responsible for assembling the file and presenting it directly to the Advisory Committee.