

# **GUIDELINES FOR PERFORMANCE APPRAISAL, CONTINUANCE, TENURE, PROMOTION, AND POST-TENURE REVIEW OF FACULTY**

**Department of Geography and Geology  
November 1, 2008**

Performance appraisals of faculty are guided by three major objectives: (1) to assist the individual faculty member in his/her continued professional development; (2) to reward those individuals whose accomplishments exceed the minimum expectations for effectiveness and productivity; and (3) to ensure the continued productivity of the Department in fulfilling its university mission and in advancing university strategic priorities. In this way, the evaluation process serves to focus the efforts of individual faculty towards activities that will contribute to affirmative recommendations throughout the continuance, tenure, promotion and post-tenure review process. At the same time, the process is designed to allow individuals some flexibility to concentrate their efforts (within the parameters expected of all faculty) in areas of particular strength or interest and to modify their areas of emphasis over time. As the evaluation process itself is expected to be dynamic and responsive to changes in the academic climate and/or university mission, this document is subject to review by the entire departmental faculty every year or upon significant change in university requirements relevant to the policies and procedures described herein.

There exist two evaluation processes within the Department. The Department Head is responsible for conducting an annual performance appraisal of each faculty member on an academic year basis. This performance appraisal forms the basis for salary recommendations made yearly by the Department Head to the Dean, and for allocation of departmental personnel resources to ensure continuing productivity of the academic unit. The departmental Continuance, Tenure, and Promotion Committees are charged with making recommendations to the Department Head regarding the continuance, tenure, and promotion of tenure-track faculty and regarding the continued post-tenure development of tenured faculty where appropriate. The Continuance Committee is composed of all tenured faculty and is chaired by the Department Head, with minutes taken by the departmental office manager. The departmental Tenure and Promotion Committee is composed of all tenured faculty members in the Department, and is chaired by a tenured faculty member elected by the Committee at its first convening each year. The Department Head serves as an *ex officio* member of the Tenure and Promotion Committee. University guidelines stipulate at least six voting members must sit on departmental Tenure and Promotion Committees; in the situation where there are fewer than six tenured faculty members in the Department, the Faculty Handbook outlines appropriate procedures for filling the committee.

Faculty at the rank of Instructor or Lecturer are required to undergo only the annual performance appraisal; the Faculty Handbook specifies the term and conditions of appointment and mechanism for renewal of appointment. Faculty at the rank of Assistant Professor are required to undergo both an annual performance appraisal as well as a review by the departmental Continuance Committee. Faculty at the rank of Associate Professor or above are required to undergo an annual performance appraisal by the Department Head, and will be referred to the Tenure and Promotion Committee for further review if unsatisfactory performance in any area is determined by the Department Head or when applying for promotion to Professor; the nature of this latter consideration is dependent on the faculty member's rank and tenure status as outlined below. The Faculty Handbook identifies university-wide criteria for decisions regarding continuance, tenure, promotion and post-tenure review; however, faculty should be aware that expectations held by the Department of Geography and Geology may in some respects be more specific (but never less specific) than these general criteria.

## 1 Rank

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3 Regular, full-time faculty at Western Kentucky University may hold appointments at one of four ranks:  
4 (1) Instructor/Lecturer; (2) Assistant Professor; (3) Associate Professor; and (4) Professor. Faculty at or  
5 above the level of Assistant Professor may be tenure-track; faculty at the level of Instructor/Lecturer or  
6 those at other ranks whose appointments specifically preclude it are not eligible for tenure. The Faculty  
7 Handbook outlines university policies and procedures regarding rank and appointment. The minimum  
8 qualifications for appointment at each rank within the Department of Geography and Geology are as  
9 follows:

### 10 *Instructor/Lecturer*

- 12 - Master's degree in the geographical or geological sciences, or in geoscience;
- 13 - Demonstrated training and ability in a topical or technical field not covered by existing faculty.

### 14 *Assistant Professor*

- 16 - Ph.D. or an accepted terminal degree in the geographical or geological sciences;
- 17 - Evidence of strong potential to teach effectively;
- 18 - Evidence of strong potential for productivity in research or other scholarly activity;
- 19 - Evidence of strong potential to contribute to university/public/professional service activities;
- 20 - Evidence of strong potential to contribute to the university mission and priorities;
- 21 - Involvement in ongoing professional development in teaching, research, and service.

### 22 *Associate Professor*

- 24 - Ph.D. or an accepted terminal degree in the geographical or geological sciences;
- 25 - A minimum of five years of experience at the rank of Assistant Professor;
- 26 - A sustained pattern of satisfactory teaching performance;
- 27 - A record of productivity in research or other scholarly activity, including publication of research  
28 findings in peer-reviewed scientific journals, books, etc.;
- 29 - A record of ongoing involvement in university/public/professional service activities;
- 30 - A record of meaningful contribution towards the university mission and priorities;
- 31 - Tangible evidence of ongoing professional development in teaching, research and service;
- 32 - A pattern of meritorious performance in teaching, research or service;

### 33 *Professor*

- 35 - Ph.D. or an accepted terminal degree in the geographical or geological sciences;
- 36 - A minimum of five years of service at the rank of Associate Professor;
- 37 - A sustained pattern of satisfactory teaching performance;
- 38 - A sustained pattern of meritorious performance in either research/scholarship and/or  
39 university/public/professional service;
- 40 - A record of ongoing involvement and productivity in the area (research/scholarship or  
41 university/public/professional service) outside the primary area of specialization above;
- 42 - A record of meaningful contribution towards the university mission and priorities;
- 43 - Tangible evidence of ongoing professional development in teaching, research, and service.

44  
45 The expectations of faculty at each rank will guide evaluation and rating of individuals as part of the  
46 Annual Performance Appraisal, and will help shape the development of their short- and long-term goals.

## 1 **Annual Performance Appraisal**

2  
3 The annual performance appraisal conducted by the Department Head provides the foundation on which  
4 recommendations regarding salary, continuance, tenure, promotion, and post-tenure professional  
5 development are based. The sequence of events and timeline associated with the annual performance  
6 appraisal process are outlined in the Faculty Handbook. Faculty are expected to collect and make  
7 available documentary evidence outlining their accomplishments in the areas of teaching effectiveness,  
8 research and scholarly activity, university/public/professional service, professional development, and  
9 contribution to the University mission. In addition, faculty are required to develop, in consultation with  
10 the Department Head, a written set of short- and long-term goals upon which future evaluations will be  
11 based. Short-term goals should identify priorities and directions for the coming academic year, while  
12 long-term goals should provide a roadmap to guide faculty development over the next five-year period, or  
13 until the faculty member is next eligible for promotion. In the case of tenured faculty yet to attain the rank  
14 of Professor, long-term goals should be carefully designed to ensure the potential for successful progress  
15 through the next stage in the promotion processes. The annual development of short- and long-term goals  
16 should include a specific weight applied by the faculty to each of the four areas of performance: teaching,  
17 research, service, and the University mission. The purpose of this weighting is to allow each faculty  
18 member to focus her/his efforts on those activities that best suit the faculty member's interests, strengths,  
19 expertise, and abilities. The appropriate weighting will be developed in consultation with the Department  
20 Head, and self-assessment of past goals, weighting, and overall contribution to the mission of the  
21 Department, College, and University is strongly encouraged. Good departmental citizenship and  
22 collegiality are expected of all faculty members and are considered in the annual evaluation of faculty  
23 contributions to the mission of the Department, College, and University.

24  
25 Appropriate professional achievements and expected levels of performance for each category in the  
26 Annual Performance Appraisal are set out below. Faculty are expected to achieve a level of satisfactory  
27 performance in all four areas: teaching, research, service, and the University mission. For the purposes of  
28 earning merit and for tenure and promotion, faculty must achieve a level of meritorious performance in  
29 any one of the four areas.

### 30 *Teaching Effectiveness*

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32  
33 Western Kentucky University recognizes teaching as its primary mission, and is committed to providing  
34 its students the highest quality of instruction possible. In addition, the Department encourages the  
35 development and provision of experiential opportunities for undergraduate and graduate students and on  
36 fostering a dynamic and challenging environment for learning.

37  
38 Criteria for judging teaching effectiveness as satisfactory may include, but are not limited to:

- 39 - A general pattern of median ratings from 3.0-4.5 ("Good") across multiple university and
- 40 departmental core items on SITE evaluations;
- 41 - Favorable evaluations of teaching performance based on self-appraisal, peer-appraisal, and/or
- 42 letters of support from past and current students;
- 43 - Evidence of systematic presentation of accurate, current information in the subject field;
- 44 - Regular availability for student consultation;
- 45 - Demonstrable efforts to challenge and develop the scientific, writing, and critical- thinking skills
- 46 of students;
- 47 - Demonstrable efforts to develop and provide experiential opportunities for students, particularly
- 48 within the ARTP research centers and other research initiatives;
- 49 - Maintenance of current course syllabi and lecture/laboratory schedules on the Internet;

- 1 - Maintenance of good teaching habits, including beginning class on-time, returning examinations
- 2 in a timely manner, maintaining clear and consistent grading policies, and treating students in a
- 3 fair, impartial and respectful manner;
- 4 - Willingness to engage students in meaningful independent research experiences;
- 5 - Involvement in academic advising of students.

6  
7 Meritorious teaching activities may include, but are not limited to:

- 8 - A consistent pattern of median ratings above 4.5 ("Very Good" or "Outstanding") across multiple
- 9 university and departmental core items on SITE evaluations;
- 10 - Development of new courses or laboratories and/or new laboratory procedures for existing
- 11 courses;
- 12 - Significant documented effort directed at developing the scientific, writing, and critical-thinking
- 13 skills of students, without a reduction in other responsibilities;
- 14 - Significant documented effort directed at developing and providing experiential opportunities for
- 15 students, particularly within the ARTP research centers and other research initiatives;
- 16 - New teaching preparations without reduction in other responsibilities;
- 17 - Service as coordinator of a multiple-section and/or a team-taught course;
- 18 - Demonstrable and sustained effort to improve the quality and/or quantity of course materials
- 19 available over the Internet;
- 20 - Incorporation of field trips or other experiences beyond the normal scope of the course;
- 21 - Involvement in distance learning (teaching at satellite campuses or via ITV);
- 22 - Chairing or extensive service on graduate or undergraduate honors thesis committees;
- 23 - Involvement in training a large number of undergraduate research students without a reduction in
- 24 other responsibilities;
- 25 - Acquisition of new equipment, facilities, etc., for instructional purposes;
- 26 - Submission of grant proposals to external agencies for acquisition of equipment, facilities, and/or
- 27 supplies for instructional purposes;
- 28 - Shouldering a large academic advising role without reduction in other responsibilities;
- 29 - Demonstrable effort to improve teaching effectiveness through professional development.

30  
31 Unsatisfactory teaching activities may include, but are not limited to:

- 32 - A consistent pattern of median ratings below 3.0 (Below "Good") across multiple university and
- 33 departmental core items on SITE evaluations;
- 34 - Failure to maintain current course syllabi and lecture/laboratory schedules on the Internet;
- 35 - Failure to maintain good teaching habits as defined above;
- 36 - Unwillingness or inability to engage undergraduate or graduate students in meaningful
- 37 independent research experiences;
- 38 - Unwillingness to assist in academic advising of students when asked.

#### 39 40 *Research and Other Scholarly Activity*

41  
42 Western Kentucky University is committed to research, scholarship, and creative activity in its broadest  
43 sense, and particularly to the involvement of students in the generation of new knowledge and the creative  
44 process. The Department views research, scholarship, and creative activity as an important contributor to  
45 its teaching mission, the professional development of faculty, and the maintenance of academic vitality  
46 within the Department.

47  
48 Criteria for judging research performance as satisfactory may include, but are not limited to:

- 49 - Publication of research findings in peer-reviewed scientific journals, monographs or books, either
- 50 related to the discipline or to the scholarship of teaching;
- 51 - Regular pursuit of intramural funds for research, equipment and/or professional travel;

- 1 - Pursuit of extramural funds for research, equipment and/or professional travel;
- 2 - Publication of research findings in non-peer-reviewed outlets (i.e., non-refereed
- 3 journals/magazines, technical or contract reports, oral or poster presentations, electronic
- 4 publications, conference proceedings (abstracts do not count), databases, etc.);
- 5 - Tangible results from research efforts while on sabbatical leave;
- 6 - Involvement in professional development activities centered on research, particularly activities
- 7 related to the ARTP research centers or to other research initiatives;
- 8 - Willingness to include students in independent research experiences;

9  
10 Meritorious research activity may include, but is not limited to:

- 11 - Frequent publication of research findings or publication in peer-reviewed high-impact journals;
- 12 - Receipt of funding from external sources;
- 13 - Extensive attempts to acquire external funding without reduction in other responsibilities;
- 14 - Leadership in obtaining funding for large-scale or multiple-investigator projects;
- 15 - Wide or frequent dissemination of research findings, especially at the national and international
- 16 level;
- 17 - Extensive tangible results from research efforts while on sabbatical leave;
- 18 - Publication of novel approaches or findings related to the scholarship of teaching beyond the
- 19 scope of the job description;
- 20 - Receipt of patents or copyrights;
- 21 - Development of other forms of intellectual property of demonstrable value;
- 22 - Acquisition of significant new research equipment or capabilities;
- 23 - Extensive documented involvement of students in independent research activities;
- 24 - Extensive engagement with ARTP-related research and/or activities and with other Departmental
- 25 research initiatives.

26  
27 Unsatisfactory research performance may include, but is not limited to:

- 28 - Failure to generate publications based on research efforts or failure to engage in research;
- 29 - Unwillingness to seek internal or external funds;
- 30 - Lack of tangible results or contributions from research efforts and/or sabbatical leave;
- 31 - Failure to participate in professional development activities related to research or scholarship.

### 32 33 *University/Public/Professional Service*

34  
35 Western Kentucky University views a record of service as evidence of the faculty member's commitment  
36 to furthering the missions of the Department, college and university. Moreover, service to the  
37 Department, College, University, and community at large is recognized as an essential component of  
38 good academic citizenship.

39  
40 Criteria for judging service performance as satisfactory may include, but are not limited to:

- 41 - Conscientious service on departmental, college, and university committees when asked;
- 42 - Service activity on behalf of ARTP research centers and other research initiatives;
- 43 - Availability for consultation and intellectual discourse with peers;
- 44 - Regular attendance at faculty meetings, departmental seminars, and university commencement;
- 45 - Sustained efforts directed at recruitment of new students to the Department;
- 46 - Work with K-12 schools, community groups, and the public on behalf of the Department;
- 47 - Participation in programs/activities that enhance the reputation of the Department, college, and
- 48 university;
- 49 - Occasional referee/reviewer of manuscripts or grant proposals;
- 50 - Service to local, state, national, or international governmental agencies and commissions;
- 51 - Involvement in professional development activities centered on service.

1 Meritorious service activity may include, but is not limited to:

- 2 - Shouldering a large, pivotal service or administrative role without reduction in other
- 3 responsibilities (e.g. service on ad hoc and/or search committees, chairing committees, directing
- 4 ARTP research center, departmental class scheduling, directing academic programs);
- 5 - Advisement of student organizations;
- 6 - Performance of service to the larger scientific community through productive leadership in
- 7 scientific societies, service on editorial boards and grant review panels.

8  
9 Unsatisfactory service performance may include, but is not limited to:

- 10 - Failure to regularly attend faculty meetings, departmental seminars, and other required university
- 11 activities such as commencement and convocation;
- 12 - Unwillingness or inability to serve productively on departmental, college, and university
- 13 committees or workgroups;
- 14 - General unavailability to students and colleagues; i.e. poor academic citizenship;
- 15 - Poor departmental citizenship or uncollegial behavior.

16  
17 *Professional Development*

18  
19 Western Kentucky University recognizes that the ongoing professional development of faculty is critical

20 to the mission of the institution and to the personal enhancement of an individual. Professional

21 development activities demonstrate the faculty member's commitment to furthering the missions of the

22 Department, college, and university. Moreover, professional development is recognized as an essential

23 component of good academic citizenship.

24  
25 Criteria for judging professional development experiences as satisfactory may include, but are not limited

26 to:

- 27 - Regular attendance at workshops designed to enhance teaching skills, technology use, new
- 28 software, etc.;
- 29 - Educational travel to other regions and countries designed to enhance knowledge and skills;
- 30 - Regular attendance at departmental, college, and university seminars and lectures;
- 31 - Self-directed learning of new pedagogies, technologies, or methodologies.

32  
33 Meritorious activity in professional development may include, but is not limited to:

- 34 - Attending and participating in three or more local, regional, national, and international
- 35 conferences in the discipline annually;
- 36 - Significant time investment in learning new pedagogies, technologies, or methodologies;
- 37 - Taking advanced or intensive formal courses to enhance a research skill;
- 38 - A high level of participation in workshops designed to enhance teaching skills, technology use,
- 39 new software, etc.;
- 40 - Significant travel to other regions and countries designed to enhance knowledge and skills;

41  
42 Unsatisfactory professional development activity may include, but is not limited to:

- 43 - Failure to attend conferences in the discipline or related-disciplines;
- 44 - Failure to invest in learning new or enhancing existing skills in pedagogy, technology, or
- 45 methodology;
- 46 - Failure to demonstrate a significant level of intellectual curiosity and engagement with the
- 47 discipline;
- 48 - Demonstrated unwillingness to improve oneself personally and professionally;

49  
50  
51

1 *Contribution to the University Mission*

2  
3 Western Kentucky University is committed to continued advancement in the quality of its academic and  
4 research programs, its service to external constituencies, and its reputation as a leading comprehensive  
5 institution in the region and the nation. Its mission is to become a leading American institution with  
6 international reach, thus preparing students for success in a global society. Faculty members are expected  
7 to be cognizant of the strategic goals of the University, and to work towards meeting those objectives in  
8 appropriate ways. Such contributions are recognized as essential components of the success of the  
9 University and, indirectly but no less importantly, of the Department. The development of annual short-  
10 and long-term goals by faculty should occur within the broad context of the strategic goals of both the  
11 Department and the University.

12  
13 Criteria for judging performance on behalf of the university mission as satisfactory may include, but are  
14 not limited to:

- 15 - Direct involvement in meeting departmental goals that contribute to the college and university
- 16 mission;
- 17 - Involvement with Freshman Seminar or other university retention initiatives;
- 18 - Efforts at recruiting new students on behalf of the university;
- 19 - Contribution to the Quality Enhancement Program (QEP) initiatives of the Department, including
- 20 curricula improvements, project-based learning, and other types of student engagement;
- 21 - Contribution to the mission of inter-departmental units (e.g., International Programs, University
- 22 Honors Program, Women's Studies, African-American Studies, Center for Gifted Studies, Center
- 23 for Teaching and Learning, Leadership Studies);
- 24 - Efforts associated with initiatives to increase diversity on campus;
- 25 - Efforts to internationalize the curriculum, program, and Department, including engagement with
- 26 study abroad programs, field camps, internships, and other experiences that serve to prepare
- 27 students for success in a global society and to engage them in communities other than their own.
- 28 - Regular attendance at Commencement -- half of the faculty will attend in the Spring and the other
- 29 half in the Fall;
- 30 - Involvement in professional development activities centered on university initiatives.

31  
32 Meritorious activity in behalf of the university mission may include, but is not limited to:

- 33 - Shouldering a large, pivotal service or administrative role without reduction in other
- 34 responsibilities (e.g. significant effort directed at recruitment, retention, or increasing diversity on
- 35 behalf of the university, teaching or administrative service on behalf of trans-departmental units);
- 36 - Involvement in obtaining capital gifts to the Department, college, or university.
- 37 - Developing opportunities within the QEP or internationalization context that go beyond the basic
- 38 level of engagement required in the Department.
- 39 - Significant engagement with alumni and/or the wider community to promote the university.

40  
41 Unsatisfactory performance on behalf of the university mission may include, but is not limited to:

- 42 - Unwillingness to participate in or support university initiatives.

43  
44 Faculty will be evaluated and rated annually by the Department Head based on the stated criteria for  
45 teaching effectiveness, research and other scholarly activity, university/public/professional service,  
46 professional development, and contribution to the university mission. The expectations of faculty,  
47 especially with regard to the level of involvement in different areas, will be consistent with the  
48 individual's rank and tenure status (refer to sections on **Rank** above and **Promotion** below), and will be  
49 measured against the short- and long-term goals agreed upon by the faculty member and the Department  
50 Head prior to the beginning of the evaluation period. Short- and long-term goals will be detailed each year  
51 by the faculty member in the annual productivity report submitted as part of the evaluation process.

1 Evaluations by the Department Head will be made available to the individual faculty member for review  
2 and comment prior to being transmitted to the Dean. All tenure-track faculty and instructors are required  
3 to meet with the Department Head to discuss the evaluation and to develop and discuss goals for the  
4 following academic year. Tenured faculty are strongly encouraged to meet with the Department Head  
5 each year during the evaluation process.

### 6 *Merit Assessment*

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9 From time to time, the Department of Geography and Geology is provided a salary pool of funds for the  
10 express purpose of rewarding meritorious performance. The assessment of merit includes both a  
11 quantitative (self-assessment) and a qualitative (Department Head assessment) analysis of the annual  
12 performance of faculty. Quantitative measures include, but are not limited to, documented activities as  
13 detailed in the various sections on meritorious performance. It is the responsibility of faculty to assess  
14 their various activities and to include in the annual report a justification for merit adjustment. Qualitative  
15 measures include, but are not limited to, the Department Head's assessment of the faculty member's  
16 contribution to the mission of the Department and the University. The Department Head will consider the  
17 faculty member's willingness to contribute to the growth of the Department, attendance at seminars and  
18 other departmental functions, departmental citizenship, extraordinary achievements that promote  
19 professional or program development, collegiality, engagement with students, and any other activities that  
20 deserve meritorious recognition. Merit assessment will not be an arbitrary process and all decisions will  
21 be documented and placed in the faculty member's permanent file. Merit funds, when available, are  
22 allocated to four dollar-designated categories: (1) Satisfactory performance in all areas; (2) Meritorious in  
23 one category (e.g., Research); (3) Meritorious in two categories (e.g., Teaching and Service); and (4)  
24 Meritorious in three or more categories.

### 25 26 **Continuance and Tenure**

27  
28 The continuance process provides the opportunity for tenured faculty in the Department to assist junior  
29 faculty in developing their professional skills and reputation while establishing themselves as productive  
30 and influential members of the university community. The WKU Faculty Handbook discusses the  
31 philosophical and practical aspects of the continuance and tenure process.

32  
33 Untenured and non-tenure track faculty at or above the rank of Assistant Professor are required to  
34 undergo consideration for continuance by the departmental Continuance Committee on an annual basis.  
35 The continuance process is linked directly to the annual performance appraisal by the Department Head.  
36 Faculty enter the continuance process during their second year of service at Western Kentucky  
37 University. Typically, considerations for continuance occur annually; however, faculty employed under  
38 multi-year contracts will be expected to undergo consideration for continuance only as a prerequisite to  
39 contract renewal or renegotiation (though performance appraisals will be conducted annually), or upon  
40 consideration for promotion and/or a switch to tenure-track status.

### 41 42 *Recommendations on Continuance*

43  
44 Untenured and non-tenure track faculty will be considered for continuance based on their overall  
45 contribution to the Department, College, and University during the review period. In addition, all  
46 departmental Continuance Committee recommendations concerning the continuance of tenure-track  
47 faculty will include an evaluation of the individual's progress towards tenure.

48  
49 The Faculty Handbook outlines the procedures and timeline associated with the continuance process. At  
50 the initiation of the process in a given review period, the Department Head will inform the departmental  
51 Continuance Committee of all faculty subject to consideration for continuance. Upon receipt of this

1 notification, the Continuance Committee will convene to discuss and make a formal recommendation  
2 regarding continuance to the Department Head.

3  
4 Faculty are expected to collect and make available documentary evidence outlining their  
5 accomplishments in the areas of teaching effectiveness, research and scholarly activity,  
6 university/public/professional service, professional development, and contributions to the university  
7 mission over the review period. Appropriate performance measures for each category are the same as  
8 those utilized in the annual performance appraisal. Tenure-track faculty should consider the expectations  
9 and documentary requirements for tenure in preparing continuance files, as the information contained  
10 therein will constitute the majority of the tenure file.

### 11 *Recommendations on Tenure*

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13  
14 University policy stipulates that a tenure decision regarding tenure-track faculty must be made during or  
15 before the sixth year of the probationary period. The Department of Geography and Geology views the  
16 recommendation on tenure made by the departmental Tenure and Promotion Committee to represent the  
17 culmination of the continuance process. As such, candidates for tenure should look to recommendations  
18 made as part of the continuance process as a guide in preparing for the tenure decision.

19 Tenure-track faculty in the Department of Geography and Geology are eligible for tenure upon  
20 completion of six years of service at or above the rank of Assistant Professor at Western Kentucky  
21 University. Faculty who have completed five years of service at a professorial rank at Western Kentucky  
22 University and two years of service at the rank of Instructor at Western Kentucky University or at a  
23 professorial rank at another accredited college or university are also eligible to apply for tenure if credit  
24 has been previously negotiated at the time of initial hiring. Faculty with exceptional records of  
25 productivity in all areas also may request a tenure review after completing five years of service at  
26 Western Kentucky University. Faculty entering the Department from tenure-track positions at other  
27 institutions may receive up to two years-of-service credit towards tenure upon appointment; the extent of  
28 credit will be negotiated and agreed to in advance by the faculty member, Department Head, and Dean. In  
29 cases where the Department desires to hire a tenured faculty member with an established record of  
30 productivity at another institution (as in the appointment of a Department Head or other senior faculty  
31 member), the residency requirements for tenure may be waived by a majority vote of the departmental  
32 Tenure and Promotion Committee. It should be noted that, while the tenure process is initiated at the  
33 beginning of the eligibility year, tenured status (if granted) is not officially conferred until that year of  
34 service is completed; this delay does not apply to senior faculty granted tenure upon appointment.

35  
36 Eligible faculty are expected to notify the Department Head in writing of their desire to seek tenure  
37 according to the timeline specified in the Faculty Handbook. The Department Head will in turn notify the  
38 departmental Tenure and Promotion Committee. Upon receipt of this notification, the Tenure and  
39 Promotion Committee will convene to discuss and make a formal recommendation regarding tenure to the  
40 Department Head.

41  
42 Candidates for tenure are expected to collect and make available documentary evidence outlining their  
43 accomplishments in the areas of teaching effectiveness, research and scholarly activity,  
44 university/public/professional service, professional development, and contribution to the university  
45 mission. Appropriate performance measures for each category are the same as those utilized in the annual  
46 performance appraisal; however, the tenure file must include data from the entire probationary period.  
47 Candidates should be advised that demonstrating effectiveness in the classroom (as part of the larger  
48 category of Teaching Effectiveness) requires documentation beyond the results of SITE evaluations;  
49 while the nature of the teaching portfolio developed is left to the discretion of the candidate, a  
50 multifaceted approach is essential.

51

1 Faculty will be considered for tenure based on their overall contribution to the Department and the  
2 university. An affirmative recommendation on tenure by the departmental Tenure and Promotion  
3 Committee will be based on those expectations of faculty holding the rank of Associate Professor (see  
4 section on **Rank** above), and the Committee's assessment of the candidate's ability and potential to meet  
5 and sustain those expectations. A tenured faculty member who holds the rank of Assistant Professor may  
6 vote on continuance decisions, but is ineligible to vote on promotion decisions (to Associate or Professor)  
7 or on tenure decisions. In some circumstances, exceptions to these general criteria may be made when a  
8 candidate demonstrates outstanding levels of achievement in one or more of the required areas; any  
9 affirmative tenure recommendation made in this way shall be accompanied by written justification  
10 showing that such action serves the best interest of the Department or university.

11  
12 *Preparing the Portfolio for Continuance, Tenure, and Promotion*

13  
14 Faculty are required to provide a portfolio that clearly documents performance outcomes for review by  
15 the Continuance and/or Tenure and Promotion Committees. The portfolio should be organized in the  
16 following order, with appropriate tabular indicators:

- 17  
18 a. A Table of Contents;  
19 b. A cover letter addressed to the committee members, which should summarize overall accomplishments  
20 and overall contribution to the mission of the Department, College, and University;  
21 c. Support letters (for Promotion and/or Tenure considerations) from external reviewers, students, the  
22 Tenure and Promotion Committee, and the Department Head. Support letters that speak directly to any  
23 of the four areas of teaching, research, service, and professional development should ideally be placed  
24 at the beginning of those sections;  
25 d. An up-to-date Curriculum Vitae;  
26 e. Copies of current and previous Annual Productivity Reports;  
27 f. A section on Teaching that begins with a summary of teaching philosophy, pedagogical strengths, and  
28 general linkage to the mission of the Department, College, and University. Provide copies of the two  
29 most recent semesters of SITE evaluations, along with samples from previous semesters. Provide a  
30 summary response and analysis of these and other student evaluations, particularly addressing any  
31 performance patterns revealed by these evaluations;  
32 g. A section on Research and Scholarship that begins with a summary of research and scholarship  
33 philosophy, and explains the link between the faculty member's research agenda and the general  
34 mission of the Department, College, and University. This section should be divided in two parts: Part  
35 (i) should address publications, and Part (ii) should address grants and other scholarly activity. Provide  
36 sample copies of publications (first page – not the entire publication), reviews, etc., that support and  
37 document performance in Research and Scholarship;  
38 h. A section on Service that begins with a summary of the faculty member's service philosophy, and  
39 explains the general linkage to the mission of the Department, College, and University. Provide  
40 examples of service activities with documented outcomes; explain what has been accomplished  
41 through the service activity. Detail any specific leadership activities or roles;  
42 i. A section on Professional Development that begins with a summary of the faculty member's  
43 professional development philosophy and then explains how professional development experiences  
44 have helped the faculty member's career. Provide examples of professional development activities  
45 with documented outcomes; explain what has been accomplished through the professional  
46 development activity. Detail any specific leadership activities or roles in professional development;  
47 j. An Appendix that contains other supporting materials. Document the rationale for providing these  
48 materials and explain in narrative form how they contribute to the faculty member's professional  
49 development.  
50  
51

1 *Five-Year Quantitative Measures for Continuance, Promotion, and Tenure*

2  
3 *Teaching:* An average rating of no less than satisfactory over the preceding five (or fewer if appropriate)  
4 years. For meritorious status, a rating of "outstanding" for three of the preceding five years and no less  
5 than "very good" for the other two years. Evaluation criteria may include, but are not limited to, formal  
6 student evaluations, informal student evaluations, peer reviews, written analysis of outstanding or  
7 innovative teaching, specific material production, testimonials, faculty-sponsored and guided student  
8 presentations at conferences, etc. Faculty are evaluated on the depth and breadth of their teaching  
9 contributions. The following list of teaching methods and activities may be useful as a guide: Active  
10 Learning Activities; Critical Thinking Activities; Problem-Based Learning; Case-Based Learning;  
11 Collaborative or Cooperative Learning; Service or Community-based Learning; Special Instructional  
12 Skills; Changes in Instructional Methodologies; Teaching Philosophies; and Productive Teaching  
13 Techniques.

14  
15 *Research and Scholarly Activity:* Tenure-track faculty are expected to demonstrate evidence of  
16 satisfactory scholarly research and intellectual activity by meeting one or more of the following  
17 requirements over the five-year tenure review period (the value, appropriateness, and quality of the  
18 scholarly research submitted by the tenure-track faculty member for the purposes of tenure and promotion  
19 will be determined by the Tenure and Promotion Committee in consultation with the Department Head):  
20

- 21 a. Publication of at least four peer-reviewed articles in professional journals; or
- 22 b. A full-length, peer-reviewed book and a peer-reviewed article; or
- 23 c. Three peer-reviewed journal articles and a peer-reviewed book chapter; or
- 24 d. Three peer-reviewed journal articles and two non-peer-reviewed journal articles; or
- 25 e. Two peer-reviewed journal articles, plus two non-peer-reviewed articles (or significant academic  
26 website development), and a research or educational product (test-bank, study guide for a textbook,  
27 CD-Rom, new model, computer program, etc.); or
- 28 f. Other combinations of peer-reviewed articles, non-peer reviewed articles, book authorships, book  
29 chapters, and other creative activities such as websites or computer program authorship equal to the  
30 intellectual equivalent of four peer-reviewed articles. This latter combination is subject to approval by  
31 the Tenure Committee and Department head.

32  
33 Permanent instructors and tenured faculty who choose research as the focus of their post-tenure activities  
34 are expected to demonstrate significant engagement with research through applied activities and/or  
35 publications in a variety of outlets (tenured faculty should refer to the Department and University post-  
36 tenure review guidelines for the basic performance requirements). A satisfactory performance for post-  
37 tenure research, creative activity, and scholarship includes presentation of at least three papers at  
38 conferences and one publication over the preceding five years. Securing at least one substantial external  
39 grant can replace the publication or paper presentation requirements, although scholarly engagement is  
40 still expected. Meritorious performance at the post-tenure level includes the presentation of papers at  
41 professional meetings for each of the preceding five years and at least two refereed publications. Securing  
42 at least two substantial external grants can replace the refereed publications. A combination of one  
43 refereed publication and one substantial external grant also is acceptable.  
44

45 *Service:* Service to the Department, College, University, Community, and Discipline is part of both a  
46 faculty member's professional development and the development of the faculty member's citizenship.  
47 Each faculty member is required to serve on, and contribute meaningfully to, Ad Hoc committees  
48 convened within the Department by the Department Head or by faculty request. Other Departmental  
49 service (representing the Department on campus and beyond) is expected as required by extant  
50 circumstances or needs (i.e. strategic plans, external reviews, etc.). Faculty are expected to contribute to  
51 the promotion of the Department's interests and needs through service on College and University

1 committees (Senate, Graduate, Awards, Gen Ed., Academic Probation, etc.), primarily through  
2 volunteerism or democratic election. It is important for the future health of the Department that both  
3 faculty and Departmental concerns and interests are represented at all levels of the University  
4 administration. External Service: Faculty are expected to demonstrate active service within the  
5 community and in state, regional, national, or international institutions, and to demonstrate service to their  
6 discipline. Service to the discipline is defined as follows (the list is not exhaustive) -- discussant or  
7 session chair at a conference; review of manuscripts for publishers and journals; book reviews for  
8 journals; committee positions; editorial positions; conference organizer; consultant in the specialty area;  
9 council positions; activist; etc.

10  
11 A rating of satisfactory requires service on at least one university/college committee for at least three of  
12 the preceding five years. External public service contributions can be substituted for university/college  
13 service. A rating of meritorious requires substantial service on at least two university or college  
14 committees for each of the preceding five years and/or substantial external public service contributions. A  
15 combination of substantial service on university/college committees and substantial external public  
16 service is acceptable.

17  
18 *Professional Development:* Faculty are expected to demonstrate a consistent level of professional  
19 development during the continuance period. Professional development includes, but is not limited to:  
20 documented efforts to improve teaching and research skills; attendance at workshops and conferences  
21 designed to improve knowledge and skill in the discipline; regional, national, and international travel  
22 designed to broaden the faculty member's knowledge; enrollment in academic or non-academic courses,  
23 workshops, or field camps designed to improve existing skills or develop new skills; any other activity  
24 that contributes to personal professional development deemed acceptable by the Tenure and Promotion  
25 Committee.

## 26 27 **Promotion**

28  
29 The promotion process is designed to recognize the continued professional development of faculty and  
30 their increasing contribution to the success of the Department and university. While the granting of  
31 tenure is based upon an evaluation of a faculty member's potential for continued professional growth and  
32 development, promotion is based on the demonstrated accomplishments of that individual over a requisite  
33 period of time. The Faculty Handbook outlines the requirements and procedures relating to the promotion  
34 process, as well as the philosophical relationship between tenure and promotion.

### 35 36 *Promotion from Instructor to Assistant Professor*

37  
38 Faculty appointed at the rank of Instructor may be promoted to Assistant Professor upon completion of all  
39 requirements and conferral of the Ph.D. or an acceptable terminal degree in the geographical, geological,  
40 or related sciences; or on completion of the requirements established by Western Kentucky University  
41 and detailed in the most recent edition of the Faculty Handbook. A recommendation for promotion will be  
42 made by the Department Head to the departmental Tenure and Promotion Committee; this  
43 recommendation will be based on the Department Head's assessment of the faculty member's  
44 performance while holding the Rank of Instructor and potential for continued professional development  
45 sufficient to meet the expectations of the rank of Assistant Professor. Upon receipt of the Department  
46 Head's recommendation, the departmental Tenure and Promotion Committee will convene to discuss and  
47 make a formal recommendation on promotion to be forwarded to the Department Head, following the  
48 procedures for tenure and promotion committees detailed above. While the promotion process may be  
49 initiated immediately upon conferral of the terminal degree, change in rank (if granted) is not officially  
50 conferred until that year of service is completed.

1 *Promotion from Assistant to Associate Professor*

2  
3 Tenure-track faculty in the Department of Geography and Geology are eligible for promotion to the rank  
4 of Associate Professor upon completion of five years of service at the rank of Assistant Professor. The  
5 recommendation regarding promotion to Associate Professor may be made contemporaneously with the  
6 recommendation regarding tenure. While the promotion process is initiated at the beginning of the  
7 application year, change in rank (if granted) is not officially conferred until that year of service is  
8 completed.

9  
10 Eligible faculty are expected to notify the Department Head in writing of their desire to seek promotion  
11 according to the timeline specified in the Faculty Handbook. The Department Head will in turn notify the  
12 departmental Tenure and Promotion Committee. Upon receipt of this notification, the Tenure and  
13 Promotion Committee will convene to discuss and make a formal recommendation regarding promotion  
14 to the Department Head.

15  
16 Eligible faculty will be considered for promotion to the rank of Associate Professor based on their overall  
17 contribution to the Department and the university. Recommendations by the departmental Tenure and  
18 Promotion Committee regarding promotion to Associate Professor will derive from the established  
19 expectations of faculty holding the rank of Associate Professor (see section on **Rank** above), and the  
20 committee's assessment of the candidate's ability and potential to meet and sustain those expectations.

21 Candidates for promotion to Associate Professor are expected to collect and make available documentary  
22 evidence outlining their accomplishments in the areas of teaching effectiveness, research and scholarly  
23 activity, university/public/professional service, professional development, and contributions to the  
24 university mission. Appropriate performance measures for each category are the same as those utilized in  
25 the annual performance appraisal and (as applicable) post-tenure review process; the promotion file must  
26 include data from the entire period subsequent to attainment of the rank of Assistant Professor.  
27 Candidates should be advised that demonstrating effectiveness in the classroom (as part of the larger  
28 category of Teaching Effectiveness) requires documentation beyond the results of SITE evaluations;  
29 while the nature of the teaching portfolio developed is left to the discretion of the candidate, a  
30 multifaceted approach is essential.

31  
32 *Promotion from Associate Professor to Professor*

33  
34 While the granting of tenure and promotion to Associate Professor requires a faculty member to  
35 demonstrate significant capacity to be productive in all areas expected of faculty, individuals having  
36 attained the rank of tenured Associate Professor may choose to concentrate their non-teaching efforts in  
37 either research or some aspect of service. While no area can be completely ignored, and teaching effort  
38 and effectiveness must be maintained, it is expected that individual tenured faculty members may wish to  
39 focus their attention on those areas most beneficial to their continued professional development and the  
40 overall productivity of the department. Each tenured faculty member should consult with the Department  
41 Head concerning their goals on a regular basis. Such areas of specialization will be delineated in the  
42 faculty member's short- and long-term goals, and future assessments of performance, progress towards  
43 promotion, and recommendations derived from the post-tenure review process will be based on these  
44 targets.

45  
46 Tenured faculty in the Department of Geography and Geology are eligible for promotion to the rank of  
47 Professor upon completion of a minimum of five years of service at the rank of Associate Professor.  
48 Eligible faculty are expected to notify the Department Head in writing of their desire to seek promotion  
49 according to the timeline specified in the Faculty Handbook. The Department Head will, in turn, notify  
50 the departmental Tenure and Promotion Committee. Upon receipt of this notification, the Tenure and  
51 Promotion Committee will convene to discuss and make a formal recommendation regarding promotion

1 to the Department Head. University policy dictates that only those tenured faculty holding the rank of  
2 Professor shall be involved in the process of promotion to Professor, but see the Faculty Handbook for  
3 exceptions. While the promotion process is initiated at the beginning of the application year, change in  
4 rank (if granted) is not officially conferred until that year of service is completed.

5  
6 Eligible faculty will be considered for promotion to the rank of Professor based on their overall  
7 contribution to the Department and the university. Recommendations by the departmental Tenure and  
8 Promotion Committee regarding promotion to Professor will derive from the established expectations of  
9 faculty holding the rank of Professor (see section on **Rank** above), and the committee's assessment of the  
10 candidate's ability and potential to meet and sustain those expectations.

11  
12 Candidates for promotion to Professor are expected to collect and make available documentary evidence  
13 outlining their accomplishments in the areas of teaching effectiveness, research and scholarly activity,  
14 university/public/professional service, professional development, and contribution to the university  
15 mission. Appropriate performance measures for each category are the same as those utilized in the annual  
16 performance appraisal and (as applicable) post-tenure review process; the promotion file must include  
17 data from the entire period since the last promotion, and only these data will be used to generate a  
18 recommendation on promotion to Professor. Candidates should be advised that demonstrating  
19 effectiveness in the classroom (as part of the larger category of Teaching Effectiveness) requires  
20 documentation beyond the results of SITE evaluations; while the nature of the teaching portfolio  
21 developed is left to the discretion of the candidate, a multifaceted approach is essential.

## 22 23 **Post-Tenure Review**

24  
25 The post-tenure review process is designed to allow tenured faculty the means to plot a professional  
26 development course consistent with their current responsibilities and ambitions, as well as with the  
27 priorities of the Department and the University. The overarching objective of the post-tenure review  
28 process is to ensure that the best interests of the students, individual faculty member, Department,  
29 College, and University continue to be recognized and served.

30  
31 University policy dictates that all tenured faculty undergo post-tenure review on an annual, academic-year  
32 basis, with a comprehensive review conducted every five years. The post-tenure review process continues  
33 the annual performance appraisal applicable to tenure-track faculty. Faculty enter the post-tenure review  
34 process during the year following the granting of tenure, at which time they are required to develop, in  
35 collaboration with the department head, a set of goals designed to guide their professional activities and  
36 development over the subsequent five years. This plan will form the foundation of the faculty member's  
37 post-tenure review file; documentation will be added to this file on an annual basis until five year's worth  
38 of documentation is compiled. In the fifth year, a new set of long-term goals will be developed and the  
39 departmental Tenure and Promotion Committee will review the file, which will include a rolling  
40 compilation of the most recent five years of documentation. Annual evaluations are based on the degree  
41 to which faculty goals were attained, as well as progress toward meeting the new set of goals.

42  
43 There exist two aspects to post-tenure review within the Department of Geography and Geology. First, as  
44 part of the annual performance appraisal, the Department Head will consider the accomplishments of  
45 tenured faculty with respect to their established long-term goals and (as appropriate) their progress  
46 towards promotion. Appropriate performance measures and categories are the same as those utilized in  
47 the annual performance appraisal; however, the faculty member may wish to provide additional  
48 documentary evidence above that provided for the annual performance appraisal to support the fifth-year  
49 evaluation by the Tenure and Promotion Committee. Following the annual performance appraisal, the  
50 Department Head will provide one of two recommendations: either (1) Recognize Satisfactory

1 Performance; or (2) Review for Remediation. Any time during the five-year post-tenure review period  
 2 that a faculty member is recommended as Review for Remediation, the file will be forwarded to the  
 3 departmental Tenure and Promotion Committee for further review and action. At the end of the  
 4 comprehensive fifth-year review, the Department Head will forward one of two recommendations on each  
 5 tenured faculty member under review to the departmental Tenure and Promotion Committee: (1)  
 6 Recognize Satisfactory Performance; and (2) Review for Remediation.

7  
 8 It is expected, in most instances, that the Department Head will forward a recommendation to Recognize  
 9 Satisfactory Performance. The Review for Remediation category will be reserved for those instances  
 10 when a tenured faculty member's pattern of performance is so consistently below that expected and/or  
 11 compromising to the mission of the Department or the University that development of a plan to monitor  
 12 and correct such deficiencies is justified.

13  
 14 In the second aspect of the post-tenure review process, all members of the departmental Tenure and  
 15 Promotion Committee will have the opportunity to review comprehensively the file of each tenured  
 16 faculty member referred to the Committee with respect to the recommendations made by the Department  
 17 Head. A comprehensive review of tenured faculty by the departmental Tenure and Promotion committee  
 18 will take place every five years, based on the date of tenure, based on the procedures establish in the  
 19 Faculty Handbook. By secret written ballot, the Tenure and Promotion Committee will vote to accept or  
 20 reject the Department Head's recommendation on each tenured faculty member. In the case when the  
 21 recommendation is rejected by the majority vote of the committee, an alternative recommendation will be  
 22 adopted.

23  
 24 In such cases when the departmental Tenure and Promotion Committee concludes that a recommendation  
 25 of Recognize Satisfactory Performance is appropriate, the chair of the committee will return that  
 26 recommendation to the Department Head to be included in the faculty member's post-tenure review file  
 27 and to be forwarded to the Dean and the Provost. If this recommendation is at odds with the original  
 28 recommendation made to the committee by the Department Head, a written justification will also be  
 29 provided.

30  
 31 In such cases where the departmental Tenure and Promotion Committee concludes that a recommendation  
 32 of Review for Remediation is appropriate, the entire committee (with the exception of the faculty member  
 33 at issue) will convene to discuss and develop a written justification for the recommendation. This  
 34 document will provide the committee's assessment of the severity of the deficiencies, and suggest a plan  
 35 of action and timeline to ameliorate the deficiencies. The recommendation, along with the written  
 36 justification, will be returned to the Department Head to be included in the faculty member's post-tenure  
 37 review file and forwarded to the Dean and the Provost. It will then be the responsibility of the Department  
 38 Head to work with the faculty member to develop a set of concrete steps to address the deficiencies in a  
 39 timely manner; this plan will also be included in the faculty member's post-tenure review file.

#### 40 41 **Approvals**

42  
43 This document has been reviewed and approved by:

44  
45  
46 Approved by Department Faculty

47  
48 Signed by the Department Faculty

49  
50 \_\_\_\_\_  
51 Department of Geography and Geology Faculty

Date: October 17, 2008

1 Ratified by *David J. Keefing*

2 \_\_\_\_\_

Date: October 18, 2008

3 Head, Department of Geography and Geology

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Date: November , 2008

8 Dean, Ogden College of Science, Technology, and Health

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10

11

12 \_\_\_\_\_

Date \_\_\_\_\_

13 Provost and Vice-President for Academic Affairs

14

15

16 Note: The full document was reviewed and ratified during the Fall 2008 semester and has been signed by  
17 all current faculty members. Amendments to the section on university mission were made in October  
18 2006 and were ratified at the most recent review of the document in Fall 2008. Specific changes were  
19 made to lines 5-6, 19-20, 25-27, and 37-38 on p 7. Other changes in wording and explanation have  
20 occurred throughout the document. Specific changes have been made to the requirements for tenure and  
21 promotion on p. 11, line 21-28.