



Exhibit 5.4.f.1

Evaluation Procedures

Faculty Handbook

<http://www.wcsu.edu/facultystaff/handbook/pages/prom-eval.asp>

Promotion, Tenure, Professional Assessment and Annual Evaluation Procedures for Teaching Faculty Members, Librarians, Athletic Coaches, and Non-Instructional Athletic Trainers

I. DEPARTMENTAL EVALUATION COMMITTEE (DEC) RESPONSIBILITIES

- A. Evaluation of non-tenured teaching faculty members, librarians, athletic coaches, and non instructional athletic trainers.
- B. Evaluation of teaching faculty members, and librarians for tenure.
- C. Evaluation of teaching faculty members, including librarians, athletic coaches, and non instructional athletic trainers for promotion.
- D. Within the limits of the CSU-AAUP contract and legal limits, maintenance of complete and absolute confidentiality about all data and deliberations.

II. DEPARTMENTAL EVALUATION COMMITTEE MEMBERSHIP

Departments may set their own rules regarding rank and number of members of the DEC provided that all members are tenured and that the committee consists of at least three people.

- A. The membership of the DEC shall include only tenured members of the department.
- B. In no case shall persons under consideration for promotion serve on any DEC during any deliberations for promotion.
- C. If, in the judgment of the University President, these provisions work a hardship on a department, the department shall develop and approve a list of tenured members from allied disciplines and shall seek members from that list in forming the DEC. If the

department requests, the School Dean (or Director) will assist in the formation of the DEC. Such DEC's shall follow the procedure set by the department involved.

D. Departmental procedures for DEC's must be consistent with the current CSU-AAUP contract and this document.

E. Tenured department chairpersons may be members of the DEC. In no case, however, shall a department chairperson being considered for promotion participate in the promotion evaluation process as a member of the DEC.

III. EVALUATION PROCEDURES AND CONSIDERATIONS

A. The DEC Chairperson shall inform each member being evaluated in writing of (a) the fact and purpose of the evaluation; (b) the opportunity to submit material to the DEC, and (c) the opportunity to appear personally before the DEC prior to the DEC recommendation. (Refer to current Collective Bargaining Agreement and Department Bylaws.) A suggested memorandum that may be used by the DEC Chairperson has been attached to these procedures.

By October 1 of each year the DEC shall send a list of the members being evaluated for promotion and tenure (with their present rank) to the appropriate Dean or Director, the University Promotion and Tenure Committee, and the Associate Vice President for Human Resources for informational purposes only.

B. In accordance with the due dates established in the AAUP Collective Bargaining Agreement, the member being evaluated should prepare and submit all relevant material to be considered for evaluative purposes directly to the DEC. Each page of the material submitted should be numbered and the total number of pages submitted must be provided. If the member provides other supporting material such as books, art portfolios, etc., then the member should prepare a table of contents listing all the material presented for consideration.

C. In making its annual evaluations and its promotion and tenure evaluations, the DEC shall make peer evaluations and shall obtain and use written student evaluations and consider materials supplied by the candidate.

D. The University President or his designee shall make available to the DEC and the Promotion and Tenure Committee (when a member is being considered for promotion and/or tenure) the personnel file of those members being evaluated. It is understood that the appropriate Dean or Director, Provost/V.P. for Academic Affairs and other administrators may access a personnel file for operational needs of the University. The member must understand that it is his/her responsibility to make sure that the file contains, in addition to the current curriculum vitae any official documents such as legal transcripts.

E. The DEC shall make a written evaluation and recommendation with supporting reasons which is signed and dated by all members of the DEC. The DEC shall issue their written evaluation and recommendation on the form titled "Department

Evaluation Committee Written Evaluation and Recommendation Report.” Separate evaluation forms have been developed for teaching faculty members, librarians, athletic coaches, and non-instructional athletic trainers.

F. Department chairpersons who are not members of the DEC shall submit at least one calendar week prior to the due date for the DEC evaluation and recommendation, a separate signed and dated evaluation to the DEC for its consideration. This evaluation will be attached to the DEC recommendation. In no case, however, shall a department chairperson being considered for promotion participate in the promotion evaluation process; being considered for tenure participation in the tenure evaluation process; or being considered for renewal participate in the renewal evaluation process.

G. In the event the evaluatee feels that a DEC member has abrogated his/her responsibilities by absenting himself/herself from deliberations, the evaluatee may request that appropriate academic dean or director investigate the situation. The evaluatee must make this request to the academic dean or director no later than five working days after receipt of the DEC written evaluation and recommendation report. If the dean or director finds that a DEC member has abrogated his/her responsibilities, then the academic dean or director shall direct the DEC to reevaluate the member and issue a new evaluation and written recommendation based upon the reevaluation.

H. By the appropriate date, the DEC shall transmit its written evaluation and recommendation with supporting reasons to the appropriate academic dean or director, together with all material submitted to and considered by the DEC. A copy of the DEC’s recommendation including supporting reasons and any material considered by the DEC which was not submitted by the member shall be sent to the affected member upon issuance. The original copy of the DEC’s written evaluation and recommendation with supporting reasons shall be placed in the member’s personnel file.

I. The Dean or Director shall review and consider all of the materials submitted by the DEC and make a recommendation based primarily on these materials. A copy of the Dean or Director’s recommendation shall be sent to the affected member upon issuance and a copy placed in the member’s personnel file.

J. The following procedures are applicable only to the annual renewal evaluation of non-tenured members and the evaluation members employed on term contracts:

1. An evaluation shall be done after completing a full semester of service and annually thereafter, in accordance with department bylaws and the CSU-AAUP contractual criteria for tenure.
2. The criterion for evaluating and recommending full-time non-tenured members shall be the criterion stated in the current CSU-AAUP Collective Bargaining Agreement for teaching faculty members or the criterion for librarians. Any special conditions in the member’s letter of appointment or subsequent

extensions or modifications of such appointment as provided in Article 4.7 of the current CSU-AAUP Collective Bargaining Agreement shall be considered in the evaluation process for renewal, promotion, or tenure.

The criterion for evaluating and recommending full-time members employed on term contracts shall be the criterion stated in the current CSU-AAUP Collective Bargaining Agreement for athletic coaches or the criterion for non-instructional athletic trainers. Any special conditions in the member's letter of appointment or subsequent extensions or modifications of such appointment as provided in Article 4.7 of the current CSU-AAUP Collective Bargaining Agreement shall be considered in the evaluation process for renewal, promotion, or tenure.

3. The Dean or Director shall send his/her recommendation along with all of the previously submitted material to the appropriate Vice President. A copy of the Dean or Director's recommendation and any new material considered by the Dean or Director shall be sent to the affected member upon issuance and a copy of the Dean or Director's recommendation shall be placed in the member's personnel file.
4. After his/her review of the material, the Vice President shall return to the member any material the member has submitted for consideration during the evaluation process.

K. The following procedures are applicable only to the evaluation of members for promotion and/or tenure

1. The department chairperson shall inform its members who are eligible for consideration for promotion.
2. Unless requested otherwise, members shall be considered for promotion as they become eligible.
3. A member not wishing to be considered for promotion must so indicate in writing to the department chairperson with a copy sent to the University President.
4. A promotion recommendation may be initiated by the department pursuant to Article 5.3.5 of the current CSU-AAUP contract.
5. Candidates with a terminal degree or comparable credentials are eligible to apply for promotion during their fifth year in rank.
6. Candidates without a terminal degree or comparable credentials are eligible to apply for promotion during their tenth year in rank.
7. A member who wishes to apply for tenure before the sixth year may do so by applying to his/her DEC. A copy of the application should be sent to the appropriate Dean or Director. Normally, four years of full time experience at the college level in the appropriate department (academic, library, counseling) with two of these years at Western are suggested before applying for tenure or the number of years mutually agreed to by the member and the University President (or designee) not later than the end of the first semester's service.
8. **Promotion.** The criterion for evaluating and recommending full-time members shall be the criterion stated in the current CSU-AAUP Collective Bargaining

Agreement for either teaching faculty members, librarians, athletic coaches, and non-instructional athletic trainers. Any special conditions in the member's letter of appointment or subsequent extensions or modifications of such appointment as provided in Article 4.7 of the current CSU-AAUP Collective Bargaining Agreement shall be considered in the evaluation process for renewal, promotion, or tenure.

9. **Tenure:** The criterion for evaluating and recommending full-time members shall be the criterion stated in the current CSU-AAUP Collective Bargaining Agreement for teaching faculty members or the criterion for librarians. Any special conditions in the member's letter of appointment or subsequent extensions or modifications of such appointment as provided in Article 4.7 of the current CSU-AAUP Collective Bargaining Agreement shall be considered in the evaluation process for renewal, promotion, or tenure. Leaves without pay shall be classified as: (a) pursuit of the member's scholarly discipline; or (b) other purposes. Leaves in pursuit of the member's scholarly discipline shall be considered a period of service for purposes of seniority, eligibility for tenure, promotion, or sabbatic leave.
10. The Dean's (or Director's) recommendation, along with all of the previously submitted material, shall be transmitted to the University Promotion and Tenure Committee. At the time it is sent, a copy of the Dean's (or Director's) recommendation (with all comments) shall be sent to the affected member and a copy shall be placed in the member's personnel file.
11. The deans for each school and the appropriate directors shall forward all material to a designated central location where it can be accessed by the P & T Committee, Provost/Vice President for Academic Affairs, and the President.
12. After conclusion of the promotion and tenure process, all material submitted by the candidate will be offered back to the member within 60 days. If a dispute regarding the promotion and or tenure process arises after the material has been returned to the faculty member, the faculty member must provide the University with a copy of all the material submitted thirty (30) days from when the dispute is initiated.

September 1982
Revised: Mar. 1996
Revised Dec. 2001
Revised Feb 2003

L. Summary of promotion and tenure procedural guidelines

1. The department chairperson shall send the letter which follows about department evaluations to:
 - a. The Vice President for Human Resources.
 - b. The Promotion and Tenure Committee Chairperson.
 - c. The appropriate Dean or Director.
2. The DEC report should include:
 - a. Peer evaluations (e.g., classroom observations, etc.)
 - b. CV (curriculum vitae) of the candidate.
 - c. Student evaluations and/or their summaries from most recent semesters.
 - d. Statement clarifying the "primary professional function" for those faculty whose primary function is not teaching (e.g., library work, etc.), as well as any special conditions incorporated within appointment letters.
 - e. Separate reports for promotion and tenure if a candidate is being evaluated for both in the same year.
3. The DEC shall prepare a total of three (3) copies of the entire DEC Written Evaluation and Recommendation Report and distribute:
 - a. One copy to the candidate.
 - b. One copy to the Dean or Director.
 - c. The original signed copy to the member's personnel file.
4. The Dean shall prepare a total of three (3) copies of his/her recommendation and distribute:
 - a. One copy to the candidate.
 - b. One copy, with the DEC report, to the chairperson of the Promotion and Tenure Committee.
 - c. The original recommendation shall be sent to the member's personnel file.

5. Listed below are the administratively approved terminal degrees (not doctoral degrees) according to the definition used in the Semi Annual Statistical Report of the Connecticut State University System: MBA/CPA for teachers of accounting only

- MFA for teachers of fine or applied arts (not including art history or education)
- MLS for librarian
- MSW for teachers of social work
- JD or LLB for teachers of business law

6. Additional and/or comparable credentials and/or experience defined in individual departmental side letters or letters of appointment shall be taken into consideration by all persons and committees involved in the evaluation process, pursuant to Article 5.3.5 (Comparable Standards) of the CSU-AAUP Collective Bargaining Agreement.

Revised Senate Approval: R-03-02-02

Admin. Approval: 4/17/03