

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

3
4 **Department of Geography and Geology**
5 **January 1, 2016**
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8 Performance appraisals of faculty are guided by three major objectives: (1) to assist the individual faculty
9 member in his/her continued professional development; (2) to reward those individuals whose
10 accomplishments exceed the minimum expectations for effectiveness and productivity; and (3) to ensure
11 the continued productivity of the Department in fulfilling its university mission and in advancing
12 university strategic priorities. In this way, the evaluation process serves to focus the efforts of individual
13 faculty towards activities that will contribute to affirmative recommendations throughout the continuance,
14 tenure, promotion and post-tenure review process. At the same time, the process is designed to allow
15 individuals some flexibility to concentrate their efforts (within the parameters expected of all faculty) in
16 areas of particular strength or interest and to modify their areas of emphasis over time. As the evaluation
17 process itself is expected to be dynamic and responsive to changes in the academic climate and/or
18 university mission, this document is subject to review by the entire departmental faculty every year or
19 upon significant change in university requirements relevant to the policies and procedures described
20 herein.

21
22 There exist two evaluation processes within the Department. The Department Head is responsible for
23 conducting an annual performance appraisal of each faculty member on an academic year basis. This
24 performance appraisal forms the basis for salary recommendations made yearly by the Department Head
25 to the Dean, and for allocation of departmental personnel resources to ensure continuing productivity of
26 the academic unit. The departmental Continuance, Tenure, and Promotion Committees are charged with
27 making recommendations to the Department Head regarding the continuance, tenure, and promotion of
28 tenure-track faculty and regarding the continued post-tenure development of tenured faculty where
29 appropriate. The Continuance Committee is composed of all tenured faculty and is chaired by the
30 Department Head, with minutes taken by the departmental office manager. The departmental Tenure and
31 Promotion Committee is composed of all tenured faculty members in the Department, and is chaired by a
32 tenured faculty member elected by the Committee at its first convening each year. The Department Head
33 serves as an *ex officio* member of the Tenure and Promotion Committee. University guidelines stipulate at
34 least six voting members must sit on departmental Tenure and Promotion Committees; in the situation
35 where there are fewer than six tenured faculty members in the Department, the current Faculty Handbook
36 outlines appropriate procedures for filling the committee.

37
38 Faculty at the rank of Instructor or Lecturer are required to undergo only the annual performance
39 appraisal; the current Faculty Handbook specifies the term and conditions of appointment and mechanism
40 for renewal of appointment. Faculty at the rank of Assistant Professor are required to undergo both an
41 annual performance appraisal as well as a review by the Department Head, with input from the
42 departmental Continuance Committee. Faculty at the rank of Associate Professor or above are required to
43 undergo an annual performance appraisal by the Department Head, and will be referred to the Tenure and
44 Promotion Committee for further review if unsatisfactory performance in any area is determined by the
45 Department Head or when applying for promotion to Professor; the nature of this latter consideration is
46 dependent on the faculty member's rank and tenure status as outlined below. The current Faculty
47 Handbook identifies university-wide criteria for decisions regarding continuance, tenure, promotion and
48 post-tenure review; however, faculty should be aware that expectations held by the Department of
49 Geography and Geology may in some respects be more specific (but never less specific) than these
50 general criteria.
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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, geological, or allied 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, geological, or allied 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, geological, or allied 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 current 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 institutional expectation is that at least 20% of a
18 faculty's time is typically allocated to scholarship, service, and the university mission, while 80% is
19 allocated to a combination of teaching and scholarly activity. For example, where a faculty member is
20 scheduled for nine workload hours of instruction per semester (accounting for 60% of a faculty's total
21 time), the other 20% is considered allocated to scholarly activity. The purpose of this weighting is to
22 allow each faculty member to focus her/his efforts on those activities that best suit the faculty member's
23 interests, strengths, expertise, and abilities. The appropriate weighting or workload allocation will be
24 developed in consultation with the Department Head, and self-assessment of past goals, weighting, and
25 overall contribution to the mission of the Department, College, and University is strongly encouraged.
26 Good departmental citizenship and collegiality are expected of all faculty members and are considered in
27 the annual evaluation of faculty contributions to the mission of the Department, College, and University.
28

29 Appropriate professional achievements and expected levels of performance for each category in the
30 Annual Performance Appraisal are set out below. Faculty are expected to achieve a minimum level of
31 satisfactory performance in all four areas: teaching, research, service, and the University mission. For the
32 purposes of earning merit and for tenure and promotion, faculty must achieve a level of meritorious
33 performance in any one of the four areas.
34

35 *Teaching Effectiveness*

36
37 Western Kentucky University recognizes teaching as its primary mission, and is committed to providing
38 its students the highest quality of instruction possible. In addition, the Department encourages the
39 development and provision of experiential opportunities for undergraduate and graduate students and on
40 fostering a dynamic and challenging environment for learning.
41

42 Criteria for judging teaching effectiveness as meeting core expectations may include, but are not limited
43 to:

- 44 - A general pattern of median ratings from 3.0-4.5 ("Good") across multiple university and
45 departmental core items on SITE evaluations;
- 46 - Favorable evaluations of teaching performance based on self-appraisal, peer-appraisal, and/or
47 letters of support from past and current students;
- 48 - Evidence of systematic presentation of accurate, current information in the subject field;
- 49 - Regular availability for student consultation;
- 50 - Demonstrable efforts to challenge and develop the scientific, writing, and critical- thinking skills
51 of students;

- 1 - Demonstrable efforts to develop and provide experiential opportunities for students, particularly
- 2 within the ARTP research centers and other research initiatives;
- 3 - Maintenance of current course syllabi and lecture/laboratory schedules on the Internet;
- 4 - Maintenance of good teaching habits, including beginning class on-time, returning examinations
- 5 in a timely manner, maintaining clear and consistent grading policies, and treating students in a
- 6 fair, impartial and respectful manner;
- 7 - Willingness to engage students in meaningful independent research experiences;
- 8 - Involvement in academic advising of students.

9
10 Teaching activities that exceed core expectations may include, but are not limited to:

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

33
34 Teaching activities that do not meet core expectations may include, but are not limited to:

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

42 43 *Research and Other Scholarly Activity*

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

1 Criteria for judging research performance as meeting core expectations may include, but are not limited
2 to:

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

14
15 Research activity that exceeds core expectations may include, but is not limited to:

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

32
33 Research performance that does not meet core expectations may include, but is not limited to:

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

38 39 *University/Public/Professional Service*

40
41 Western Kentucky University views a record of service as evidence of the faculty member's commitment
42 to furthering the missions of the Department, college and university. Moreover, service to the
43 Department, College, University, and community at large is recognized as an essential component of
44 good academic citizenship.

45
46 Criteria for judging service performance as meeting core expectations may include, but are not limited to:

- 47 - Conscientious service on departmental, college, and university committees when asked;
- 48 - Service activity on behalf of ARTP research centers and other research initiatives;
- 49 - Availability for consultation and intellectual discourse with peers;
- 50 - Regular attendance at faculty meetings, departmental seminars, and university commencement;
- 51 - Sustained efforts directed at recruitment of new students to the Department;

- 1 - Work with K-12 schools, community groups, and the public on behalf of the Department;
- 2 - Participation in programs/activities that enhance the reputation of the Department, college, and
- 3 university;
- 4 - Occasional referee/reviewer of manuscripts or grant proposals;
- 5 - Service to local, state, national, or international governmental agencies and commissions;
- 6 - Involvement in professional development activities centered on service.

7
8 Service activity that exceeds core expectations may include, but is not limited to:

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

15
16 Service performance that does not meet core expectations may include, but is not limited to:

- 17 - Failure to regularly attend faculty meetings, departmental seminars, and other required university
- 18 activities such as commencement and convocation;
- 19 - Unwillingness or inability to serve productively on departmental, college, and university
- 20 committees or workgroups;
- 21 - General unavailability to students and colleagues; i.e. poor academic citizenship;
- 22 - Poor departmental citizenship or non-collegial behavior.

23 24 *Professional Development*

25
26 Western Kentucky University recognizes that the ongoing professional development of faculty is critical

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

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

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

30 component of good academic citizenship.

31
32 Criteria for judging professional development experiences that meet core expectations may include, but

33 are not limited to:

- 34 - Regular attendance at workshops designed to enhance teaching skills, technology use, new
- 35 software, etc.;
- 36 - Educational travel to other regions and countries designed to enhance knowledge and skills;
- 37 - Regular attendance at departmental, college, and university seminars and lectures;
- 38 - Self-directed learning of new pedagogies, technologies, or methodologies.

39
40 Activity in professional development that exceeds core expectations may include, but is not limited to:

- 41 - Attendance and demonstrable participation in three or more local, regional, national, and
- 42 international conferences in the discipline annually;
- 43 - Significant time investment in learning new pedagogies, technologies, or methodologies;
- 44 - Taking advanced or intensive formal courses to enhance a research skill;
- 45 - A high level of participation in workshops designed to enhance teaching skills, technology use,
- 46 new software, etc.;
- 47 - Significant travel to other regions and countries designed to enhance knowledge and skills;

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1 Professional development activity that does not meet core expectations may include, but is not limited to:

- 2 - Failure to attend conferences in the discipline or related-disciplines;
- 3 - Failure to invest in learning new or enhancing existing skills in pedagogy, technology, or
- 4 methodology;
- 5 - Failure to demonstrate a significant level of intellectual curiosity and engagement with the
- 6 discipline;
- 7 - Demonstrated unwillingness to improve oneself personally and professionally;

8 *Contribution to the University Mission*

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

20
21 Criteria for judging performance on behalf of the university mission as meeting core expectations may
22 include, but are not limited to:

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

39
40 Activity on behalf of the university mission that exceeds core expectations may include, but is not limited
41 to:

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

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1 Performance on behalf of the university mission that does not meet core expectations may include, but is
2 not limited to:

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

4
5 Faculty will be evaluated and rated annually by the Department Head based on the stated criteria for
6 teaching effectiveness, research and other scholarly activity, university/public/professional service,
7 professional development, and contribution to the university mission. The expectations of faculty,
8 especially with regard to the level of involvement in different areas, will be consistent with the
9 individual's rank and tenure status (refer to sections on **Rank** above and **Promotion** below), and will be
10 measured against the short- and long-term goals agreed upon by the faculty member and the Department
11 Head prior to the beginning of the evaluation period. Short- and long-term goals will be detailed each year
12 by the faculty member in the annual productivity report submitted as part of the evaluation process.
13 Evaluations by the Department Head will be made available to the individual faculty member for review
14 and comment prior to being transmitted to the Dean. All tenure-track faculty and instructors are required
15 to meet with the Department Head to discuss the evaluation and to develop and discuss goals for the
16 following academic year. Tenured faculty are strongly encouraged to meet with the Department Head
17 each year during the evaluation process.

18 19 *Professional Conduct (Collegiality)*

20
21 Criteria for judging professional conduct (collegiality) within the Department and the wider university
22 community as meeting core expectations may include, but are not limited to:

- 23 - Exercises his/her professional skill and judgment to the best of his/her ability and discharges
24 his/her professional responsibility with integrity.
- 25 - Treats mentorship of students as a trust conferred by the profession for the promotion of students'
26 learning and professional development, and treats students with respect and without exploitation.
- 27 - Treats colleagues and associates with courtesy, encourages them, learns with them, shares and
28 exchanges ideas, and acknowledges their contributions. Strives to ensure that colleagues and
29 associates respect the ethical principles of the profession and strives to nurture and mentor young
30 professionals.

31
32 Criterion for judging professional conduct (collegiality) within the Department and the wider university
33 community that does not meet core expectations may include, but is not limited to:

- 34 - Documented failure to act in a professional manner as outlined above.

35 36 *Merit Assessment*

37
38 From time to time, the Department of Geography and Geology is provided a salary pool of funds for the
39 express purpose of rewarding meritorious performance. The assessment of merit includes both a
40 quantitative (self-assessment) and a qualitative (Department Head assessment) analysis of the annual
41 performance of faculty. Quantitative measures include, but are not limited to, documented activities as
42 detailed in the various sections on meritorious performance. It is the responsibility of faculty to assess
43 their various activities and to include in the annual report a justification for merit adjustment. Qualitative
44 measures include, but are not limited to, the Department Head's assessment of the faculty member's
45 contribution to the mission of the Department and the University. The Department Head will consider the
46 faculty member's willingness to contribute to the growth of the Department, attendance at seminars and
47 other departmental functions, departmental citizenship, extraordinary achievements that promote
48 professional or program development, collegiality, engagement with students, and any other activities that
49 deserve meritorious recognition. Merit assessment will not be an arbitrary process and all decisions will
50 be documented and placed in the faculty member's permanent file. Merit funds, when available, are
51 allocated to four dollar-designated categories: (1) Performance that meets core expectations in all areas;

1 (2) Exceeds core expectations in one category (e.g., Research); (3) in two categories (e.g., Teaching and
 2 Service); and (4) in three or more categories.

3 4 **Continuance and Tenure**

5
6 The continuance process provides the opportunity for tenured faculty in the Department to assist junior
 7 faculty in developing their professional skills and reputation while establishing themselves as productive
 8 and influential members of the university community. The current WKU Faculty Handbook discusses the
 9 philosophical and practical aspects of the continuance and tenure process.

10
11 Untenured and non-tenure track faculty at or above the rank of Assistant Professor are required to
 12 undergo consideration for continuance by the Department Head, with input from the departmental
 13 Continuance Committee, on an annual basis. The continuance process is linked directly to the annual
 14 performance appraisal by the Department Head. Faculty enter the continuance process during their second
 15 year of service at Western Kentucky University. Typically, considerations for continuance occur
 16 annually; however, faculty employed under multi-year contracts will be expected to undergo
 17 consideration for continuance only as a prerequisite to contract renewal or renegotiation (though
 18 performance appraisals will be conducted annually), or upon consideration for promotion and/or a switch
 19 to tenure-track status.

20 21 *Recommendations on Continuance*

22
23 Untenured and non-tenure track faculty will be considered for continuance based on their overall
 24 contribution to the Department, College, and University during the review period. In addition, all
 25 departmental recommendations concerning the continuance of tenure-track faculty will include an
 26 evaluation of the individual's progress towards tenure. The current Faculty Handbook outlines the
 27 procedures and timeline associated with the continuance process. At the initiation of the process in a
 28 given review period, the Department Head will inform, and consult with, the departmental Continuance
 29 Committee about all faculty subject to consideration for continuance. Upon receipt of this notification, the
 30 Continuance Committee will convene to discuss and provide advice regarding continuance to the
 31 Department Head.

32
33 Faculty are expected to collect and make available documentary evidence outlining their
 34 accomplishments in the areas of teaching effectiveness, research and scholarly activity,
 35 university/public/professional service, professional development, and contributions to the university
 36 mission over the review period. Appropriate performance measures for each category are the same as
 37 those utilized in the annual performance appraisal. Tenure-track faculty should consider the expectations
 38 and documentary requirements for tenure in preparing continuance files, as the information contained
 39 therein will constitute the majority of the tenure file.

40 41 *Recommendations on Tenure*

42
43 University policy stipulates that a tenure decision regarding tenure-track faculty must be made during or
 44 before the sixth year of the probationary period. The Department of Geography and Geology views the
 45 recommendation on tenure made by the departmental Tenure and Promotion Committee to represent the
 46 culmination of the continuance process. As such, candidates for tenure should look to recommendations
 47 made as part of the continuance process as a guide in preparing for the tenure decision. Tenure-track
 48 faculty in the Department of Geography and Geology are eligible for tenure upon completion of six years
 49 of service at or above the rank of Assistant Professor at Western Kentucky University. Faculty with
 50 exceptional records of productivity in all areas may request a tenure review after completing less than six
 51 years of service at Western Kentucky University. A faculty member who has applied for tenure before the

1 sixth year of service at WKU may withdraw from the process at any time without prejudice. In cases
2 where the Department desires to hire a tenured faculty member with an established record of productivity
3 at another institution (as in the appointment of a Department Head or other senior faculty member), the
4 residency requirements for tenure may be waived by a majority vote of the departmental Tenure and
5 Promotion Committee. It should be noted that, while the tenure process is initiated at the beginning of the
6 eligibility year, tenured status (if granted) is not officially conferred until that year of service is
7 completed; this delay does not apply to senior faculty granted tenure upon appointment.
8

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

15 Candidates for tenure are expected to collect and make available documentary evidence outlining their
16 accomplishments in the areas of teaching effectiveness, research and scholarly activity,
17 university/public/professional service, professional development, and contribution to the university
18 mission. Appropriate performance measures for each category are the same as those utilized in the annual
19 performance appraisal; however, the tenure file must include data from the entire probationary period.
20 Candidates should be advised that demonstrating effectiveness in the classroom (as part of the larger
21 category of Teaching Effectiveness) requires documentation beyond the results of SITE evaluations;
22 while the nature of the teaching portfolio developed is left to the discretion of the candidate, a
23 multifaceted approach is essential.
24

25 Faculty will be considered for tenure based on their overall contribution to the Department and the
26 university. An affirmative recommendation on tenure by the departmental Tenure and Promotion
27 Committee will be based on those expectations of faculty holding the rank of Associate Professor (see
28 section on **Rank** above), and the Committee's assessment of the candidate's ability and potential to meet
29 and sustain those expectations. A tenured faculty member who holds the rank of Assistant Professor may
30 vote on continuance decisions, but is ineligible to vote on promotion decisions (to Associate or Professor)
31 or on tenure decisions. In some circumstances, exceptions to these general criteria may be made when a
32 candidate demonstrates outstanding levels of achievement in one or more of the required areas; any
33 affirmative tenure recommendation made in this way shall be accompanied by written justification
34 showing that such action serves the best interest of the Department or university.
35

36 *Preparing the Portfolio for Continuance, Tenure, and Promotion*

37

38 Faculty are required to provide a portfolio that clearly documents performance outcomes for review by
39 the Continuance and/or Tenure and Promotion Committees. The portfolio may be submitted
40 electronically, and should be organized in the following order, with appropriate tabular indicators:
41

- 42 a. A Table of Contents;
- 43 b. A cover letter addressed to the committee members, which should summarize overall accomplishments
44 and overall contribution to the mission of the Department, College, and University;
- 45 c. Support letters (for Promotion and/or Tenure considerations) from external reviewers, students, the
46 Tenure and Promotion Committee, and the Department Head. Support letters that speak directly to any
47 of the four areas of teaching, research, service, and professional development should ideally be placed
48 at the beginning of those sections; Support letters may be solicited by the candidate and/or the
49 Department Head, where appropriate. The Committee will be notified of the names of the external
50 reviewers upon solicitation, and all letters received on or before the Committee meeting date will be

1 made available to the Committee. External letters solicited by the Department Head are not available
2 to the candidate.

- 3 d. An up-to-date Curriculum Vitae;
4 e. A section on Teaching that begins with a summary of teaching philosophy, pedagogical strengths, and
5 general linkage to the mission of the Department, College, and University. Provide copies of the two
6 most recent semesters of SITE evaluations, along with samples from previous semesters. Provide a
7 summary response and analysis of these and other student evaluations, particularly addressing any
8 performance patterns revealed by these evaluations;
9 f. A section on Research and Scholarship that begins with a summary of research and scholarship
10 philosophy, and explains the link between the faculty member's research agenda and the general
11 mission of the Department, College, and University. This section should be divided in two parts: Part
12 (i) should address publications, and Part (ii) should address grants and other scholarly activity. Provide
13 sample copies of publications (first page – not the entire publication), reviews, etc., that support and
14 document performance in Research and Scholarship;
15 g. A section on Service that begins with a summary of the faculty member's service philosophy, and
16 explains the general linkage to the mission of the Department, College, and University. Provide
17 examples of service activities with documented outcomes; explain what has been accomplished
18 through the service activity. Detail any specific leadership activities or roles;
19 h. A section on Professional Development that begins with a summary of the faculty member's
20 professional development philosophy and then explains how professional development experiences
21 have helped the faculty member's career. Provide examples of professional development activities
22 with documented outcomes; explain what has been accomplished through the professional
23 development activity. Detail any specific leadership activities or roles in professional development;
24 i. An Appendix that contains other supporting materials. Document the rationale for providing these
25 materials and explain in narrative form how they contribute to the faculty member's professional
26 development.

27
28 *Five-Year Quantitative Measures for Continuance, Promotion to Associate, and Tenure*

29
30 *Teaching:* An average rating of no less than satisfactory over the preceding five (or fewer if appropriate)
31 years. For meritorious status, a rating of "outstanding" for three of the preceding five years and no less
32 than "very good" for the other two years. Evaluation criteria may include, but are not limited to, formal
33 student evaluations, informal student evaluations, peer reviews, written analysis of outstanding or
34 innovative teaching, specific material production, testimonials, faculty-sponsored and guided student
35 presentations at conferences, etc. Faculty are evaluated on the depth and breadth of their teaching
36 contributions. The following list of teaching methods and activities may be useful as a guide: Active
37 Learning Activities; Critical Thinking Activities; Problem-Based Learning; Case-Based Learning;
38 Collaborative or Cooperative Learning; Service or Community-based Learning; Special Instructional
39 Skills; Changes in Instructional Methodologies; Teaching Philosophies; and Productive Teaching
40 Techniques.

41
42 *Research and Scholarly Activity:* Tenure-track faculty are expected to demonstrate evidence of
43 satisfactory scholarly research and activity by meeting one or more of the following requirements over the
44 five-year tenure review period (the value, appropriateness, and quality of the scholarly research submitted
45 by the tenure-track faculty member for the purposes of tenure and promotion will be determined by the
46 Tenure and Promotion Committee in consultation with the Department Head):

- 47
48 a. Publication of at least four peer-reviewed articles in professional journals; or
49 b. A full-length, peer-reviewed book and a peer-reviewed article; or
50 c. Three peer-reviewed journal articles and a peer-reviewed book chapter; or
51 d. Three peer-reviewed journal articles and two non-peer-reviewed journal articles; or

- 1 e. Two peer-reviewed journal articles, plus two non-peer-reviewed articles (or significant academic
2 website development), and a research or educational product (test-bank, study guide for a textbook,
3 CD-Rom, new model, computer program, etc.); or
4 f. Other combinations of research publications and research grants (both extra- and intramural)
5 acceptable to the Department.
6

7 Permanent instructors and tenured faculty who choose research as the focus of their post-tenure activities
8 are expected to demonstrate significant engagement with research through applied activities and/or
9 publications in a variety of outlets (tenured faculty should refer to the Department and University post-
10 tenure review guidelines for the basic performance requirements). A satisfactory performance (meets core
11 expectations) for post-tenure research, creative activity, and scholarship includes presentation of at least
12 three papers at conferences and one publication over the preceding five years. Securing at least one
13 substantial external grant can replace the publication or paper presentation requirements, although
14 scholarly engagement is still expected. Meritorious performance at the post-tenure level includes the
15 presentation of papers at professional meetings for each of the preceding five years and at least two
16 refereed publications. Securing at least two substantial external grants can replace the refereed
17 publications. A combination of one refereed publication and one substantial external grant also is
18 acceptable.
19

20 *Service:* Service to the Department, College, University, Community, and Discipline is part of both a
21 faculty member's professional development and the development of the faculty member's citizenship.
22 Each faculty member is required to serve on, and contribute meaningfully to, Ad Hoc committees
23 convened within the Department by the Department Head or by faculty request. Other Departmental
24 service (representing the Department on campus and beyond) is expected as required by extant
25 circumstances or needs (i.e. strategic plans, external reviews, etc.). Faculty are expected to contribute to
26 the promotion of the Department's interests and needs through service on College and University
27 committees (Senate, Graduate, Awards, Gen Ed., Academic Probation, etc.), primarily through
28 volunteerism or democratic election. It is important for the future health of the Department that both
29 faculty and Departmental concerns and interests are represented at all levels of the University
30 administration. External Service: Faculty are expected to demonstrate active service within the
31 community and in state, regional, national, or international institutions, and to demonstrate service to their
32 discipline. Service to the discipline is defined as follows (the list is not exhaustive) -- discussant or
33 session chair at a conference; review of manuscripts for publishers and journals; book reviews for
34 journals; committee positions; editorial positions; conference organizer; consultant in the specialty area;
35 council positions; activist; etc.
36

37 A rating of satisfactory requires service on at least one university/college committee for at least three of
38 the preceding five years. External public service contributions can be substituted for university/college
39 service. A rating of meritorious requires substantial service on at least two university or college
40 committees for each of the preceding five years and/or substantial external public service contributions. A
41 combination of substantial service on university/college committees and substantial external public
42 service is acceptable.
43

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

1 **Promotion**

2
3 The promotion process is designed to recognize the continued professional development of faculty and
4 their increasing contribution to the success of the Department and university. While the granting of
5 tenure is based upon an evaluation of a faculty member's potential for continued professional growth and
6 development, promotion is based on the demonstrated accomplishments of that individual over a requisite
7 period of time. The Faculty Handbook outlines the requirements and procedures relating to the promotion
8 process, as well as the philosophical relationship between tenure and promotion.
9

10 *Promotion from Instructor to Assistant Professor*

11
12 Faculty appointed at the rank of Instructor may be promoted to Assistant Professor upon completion of all
13 requirements and conferral of the Ph.D. or an acceptable terminal degree in the geographical, geological,
14 or related sciences; or on completion of the requirements established by Western Kentucky University
15 and detailed in the current Faculty Handbook. A recommendation for promotion will be made by the
16 Department Head to the departmental Tenure and Promotion Committee; this recommendation will be
17 based on the Department Head's assessment of the faculty member's performance while holding the Rank
18 of Instructor and potential for continued professional development sufficient to meet the expectations of
19 the rank of Assistant Professor. Upon receipt of the Department Head's recommendation, the
20 departmental Tenure and Promotion Committee will convene to discuss and make a formal
21 recommendation on promotion to be forwarded to the Department Head, following the procedures for
22 tenure and promotion committees detailed above. While the promotion process may be initiated
23 immediately upon conferral of the terminal degree, change in rank (if granted) is not officially conferred
24 until that year of service is completed.
25

26 *Promotion from Assistant to Associate Professor*

27
28 Tenure-track faculty in the Department of Geography and Geology are eligible for promotion to the rank
29 of Associate Professor upon completion of five years of service at the rank of Assistant Professor. The
30 recommendation regarding promotion to Associate Professor may be made contemporaneously with the
31 recommendation regarding tenure. While the promotion process is initiated at the beginning of the
32 application year, change in rank (if granted) is not officially conferred until that year of service is
33 completed.
34

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

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

46 Candidates for promotion to Associate Professor are expected to collect and make available documentary
47 evidence outlining their accomplishments in the areas of teaching effectiveness, research and scholarly
48 activity, university/public/professional service, professional development, and contributions to the
49 university mission. Appropriate performance measures for each category are the same as those utilized in
50 the annual performance appraisal and (as applicable) post-tenure review process; the promotion file must
51 include data from the entire period subsequent to attainment of the rank of Assistant Professor.

1 Candidates should be advised that demonstrating effectiveness in the classroom (as part of the larger
2 category of Teaching Effectiveness) requires documentation beyond the results of SITE evaluations;
3 while the nature of the teaching portfolio developed is left to the discretion of the candidate, a
4 multifaceted approach is essential.

5
6 *Promotion from Associate Professor to Professor*

7
8 Earning tenure and promotion to the rank of Associate Professor in the Department of Geography and
9 Geology requires a faculty member to demonstrate a sustained level of productivity in all areas expected
10 of faculty (see section on RANK p 2). Thereafter, faculty should develop a set of short- and long-term
11 goals that demonstrate a sustained commitment to teaching, research and scholarly activity, service, and
12 professional development, such goals to be consistent with the mission of the department, college, and
13 university. Each tenured faculty member should consult with the Department Head concerning his/her
14 goals on a regular basis, and should update his/her annual statement of goals each January ahead of the
15 development of the department's academic year teaching schedule.

16
17 Faculty members seeking promotion to the rank of Professor are expected to demonstrate a level of
18 sustained productivity in all areas over a period of at least five years. While no area can be completely
19 ignored, and teaching effort and effectiveness must be maintained at a high level, it is likely that
20 individual tenured faculty members may wish to focus their attention on those areas most beneficial to
21 their continued professional development and the overall productivity of the department and college. For
22 example, a faculty member expending 60% effort on teaching, 20% effort on research, and 20% effort on
23 service and professional development per academic year may have an opportunity to serve on a major
24 university taskforce or take a position with a national or international organization that require significant
25 time and effort. In this situation, the faculty member should consult with the Department Head on an
26 appropriate level of workload reallocation, such that a meaningful level of research productivity is
27 maintained throughout. Minimum expectations for promotion to the rank of Professor are detailed in the
28 Faculty Handbook and in the RANK section of this document (p. 2).

29
30 Tenured faculty in the Department of Geography and Geology are eligible for promotion to the rank of
31 Professor upon completion of a minimum of five years of service at the rank of Associate Professor.
32 Eligible faculty are expected to notify the Department Head in writing of their desire to seek promotion
33 according to the timeline specified in the current Faculty Handbook, and are advised to engage senior
34 faculty in mentoring prior to submitting the promotion portfolio. The Department Head will, in turn,
35 notify the departmental Tenure and Promotion Committee. Upon receipt of this notification, the Tenure
36 and Promotion Committee will convene to discuss and make a formal recommendation regarding
37 promotion to the Department Head. Current university policy dictates that only those tenured faculty
38 holding the rank of Professor shall be involved in the process of promotion to Professor, but see the
39 current Faculty Handbook for exceptions. While the promotion process is initiated at the beginning of the
40 application year, change in rank (if granted) is not officially conferred until that year of service is
41 completed.

42
43 Eligible faculty will be considered for promotion to the rank of Professor based on their overall
44 contribution to the Department and the university. Recommendations by the departmental Tenure and
45 Promotion Committee regarding promotion to Professor will derive from the established expectations of
46 faculty holding the rank of Professor (see section on **Rank** above), and the committee's assessment of the
47 candidate's ability and potential to meet and sustain those expectations.

48
49 Candidates for promotion to Professor are expected to collect and make available documentary evidence
50 outlining their accomplishments in the areas of teaching effectiveness, research and scholarly activity,
51 university/public/professional service, professional development, and contribution to the university

1 mission. Appropriate performance measures for each category are the same as those utilized in the annual
2 performance appraisal and (as applicable) post-tenure review process; the promotion file must include
3 data from the entire period since the last promotion, and only these data will be used to generate a
4 recommendation on promotion to Professor. Candidates should be advised that demonstrating
5 effectiveness in the classroom (as part of the larger category of Teaching Effectiveness) requires
6 documentation beyond the results of SITE evaluations; while the nature of the teaching portfolio
7 developed is left to the discretion of the candidate, a multifaceted approach is essential.

8 9 **Post-Tenure Review**

10
11 The post-tenure review process is designed to allow tenured faculty the means to plot a professional
12 development course consistent with their current responsibilities and ambitions, as well as with the
13 priorities of the Department and the University. The overarching objective of the post-tenure review
14 process is to ensure that the best interests of the students, individual faculty member, Department,
15 College, and University continue to be recognized and served.

16
17 Current university policy dictates that all tenured faculty undergo post-tenure review on an annual,
18 academic-year basis, with a comprehensive review conducted every five years. The post-tenure review
19 process continues the annual performance appraisal applicable to tenure-track faculty. Faculty enter the
20 post-tenure review process during the year following the granting of tenure, at which time they are
21 required to develop, in collaboration with the department head, a set of goals designed to guide their
22 professional activities and development over the subsequent five years. This plan will form the foundation
23 of the faculty member's post-tenure review file; documentation will be added to this file on an annual
24 basis until five year's worth of documentation is compiled. In the fifth year, a new set of long-term goals
25 will be developed and the departmental Tenure and Promotion Committee will review the file, which will
26 include a rolling compilation of the most recent five years of documentation. Annual evaluations are
27 based on the degree to which faculty goals were attained, as well as progress toward meeting the new set
28 of goals.

29
30 There exist two aspects to post-tenure review within the Department of Geography and Geology. First, as
31 part of the annual performance appraisal, the Department Head will consider the accomplishments of
32 tenured faculty with respect to their established long-term goals and (as appropriate) their progress
33 towards promotion. Appropriate performance measures and categories are the same as those utilized in
34 the annual performance appraisal; however, the faculty member may wish to provide additional
35 documentary evidence above that provided for the annual performance appraisal to support the fifth-year
36 evaluation by the Tenure and Promotion Committee. Following the annual performance appraisal, the
37 Department Head will provide one of two recommendations: either (1) Recognize Satisfactory
38 Performance; or (2) Review for Remediation. Any time during the five-year post-tenure review period
39 that a faculty member is recommended as Review for Remediation, the file will be forwarded to the
40 departmental Tenure and Promotion Committee for further review and action. At the end of the
41 comprehensive fifth-year review, the Department Head will forward one of two recommendations on each
42 tenured faculty member under review to the departmental Tenure and Promotion Committee: (1)
43 Recognize Satisfactory Performance; and (2) Review for Remediation.

44
45 It is expected, in most instances, that the Department Head will forward a recommendation to Recognize
46 Satisfactory Performance. The Review for Remediation category will be reserved for those instances
47 when a tenured faculty member's pattern of performance is so consistently below that expected and/or
48 compromising to the mission of the Department or the University that development of a plan to monitor
49 and correct such deficiencies is justified.

1 In the second aspect of the post-tenure review process, all members of the departmental Tenure and
2 Promotion Committee will have the opportunity to review comprehensively the file of each tenured
3 faculty member referred to the Committee with respect to the recommendations made by the Department
4 Head. A comprehensive review of tenured faculty by the departmental Tenure and Promotion committee
5 will take place every five years, based on the date of tenure, based on the procedures establish in the
6 current Faculty Handbook. By secret written ballot, the Tenure and Promotion Committee will vote to
7 accept or reject the Department Head's recommendation on each tenured faculty member. In the case
8 when the recommendation is rejected by the majority vote of the committee, an alternative
9 recommendation will be adopted.

10
11 In such cases when the departmental Tenure and Promotion Committee concludes that a recommendation
12 of Recognize Satisfactory Performance is appropriate, the chair of the committee will return that
13 recommendation to the Department Head to be included in the faculty member's post-tenure review file
14 and to be forwarded to the Dean and the Provost. If this recommendation is at odds with the original
15 recommendation made to the committee by the Department Head, a written justification will also be
16 provided.

17
18 In such cases where the departmental Tenure and Promotion Committee concludes that a recommendation
19 of Review for Remediation is appropriate, the entire committee (with the exception of the faculty member
20 at issue) will convene to discuss and develop a written justification for the recommendation. This
21 document will provide the committee's assessment of the severity of the deficiencies, and suggest a plan
22 of action and timeline to ameliorate the deficiencies. The recommendation, along with the written
23 justification, will be returned to the Department Head to be included in the faculty member's post-tenure
24 review file and forwarded to the Dean and the Provost. It will then be the responsibility of the Department
25 Head to work with the faculty member to develop a set of concrete steps to address the deficiencies in a
26 timely manner; this plan will also be included in the faculty member's post-tenure review file.

27
28 **Approvals**

29
30 This document has been reviewed and approved by:

31
32 The Department Faculty:

33
34 Signed by the Department Faculty (electronic approvals)

Date: December 7, 2015, and thereafter.

35
36 _____
37 Department of Geography and Geology Faculty

38 Ratified by
39 *David J. Keeling*

Date: December 7, 2015

40
41 _____
42 Head, Department of Geography and Geology

43
44
45 _____
46 Dean, Ogden College of Science and Engineering

Date:

47
48
49 _____
50 Provost and Vice-President for Academic Affairs

Date _____

1 Note: The current document was reviewed and amended during the 2015-2016 academic year. Changes
2 were made to the wording and explanations on promotion to bring the document in line with the current
3 WKU Faculty Handbook, and were ratified between December 7, 2015, and January 26, 2016, by the
4 faculty by electronic approval.