

DRAFT**POLICIES AND PROCEDURES FOR FACULTY DEVELOPMENT
(April 23, 2017)****PROVISION FOR REVISION**

With input from other stakeholders, the Faculty Senate will revisit the policies and procedures herein in three years to assess how well they are operating and to make changes as appropriate.

1. BACKGROUND SPECIFICATIONS

The following policies and procedures apply to all faculty members in all benefitted faculty series, which includes: the tenure line Professorial Series, the Professorial Series in University Libraries, the Teaching Professorial Series, the Clinical Professorial Series, the Professors of the Practice Series, and the Research Professorial Series. Chairs, Directors, and Deans are encouraged to acquire the skills needed to implement the policies and procedures herein. Nothing in the present document substitutes for or eliminates policies and procedures in the University's document titled "Policies and Procedures Relating to Faculty Appointment, Promotion, and Tenure" (the APT document). For example, policies and procedures in the University's APT document regarding appointment, reappointment, promotion, tenure, and non-continuation of contracts take precedence over policies and procedures herein.

2. DISTRIBUTION OF JOB RESPONSIBILITIES

The interests and abilities of faculty members can change as they progress through their careers. The needs of a faculty member's academic unit can also change over time.¹ As a result, faculty members should be given the opportunity to negotiate changes in the distribution of their job responsibilities in teaching, scholarship/creative activities, and service (see Sections 2.1 and 2.2 for initial specifications of job responsibility percentages). These negotiations are equally available to all benefitted faculty members with the goal that they be evaluated and valued for their actual contributions and achievements.

2.1 A written specification of the distribution of job responsibility percentages (for teaching, research/creative activities, and service) shall be established, if not already established, for each faculty member by the academic unit with the approval of the Dean and with input from the faculty member. The specification reveals the percentages used to assess overall job performance in annual reviews. For example, if the percentage for teaching is greater than the percentage for research/creative activity, teaching will be weighted more heavily than research/creative activity in assessing overall job performance in annual reviews. The distributions of job responsibility percentages may be specified using ranges of values for each of the categories of teaching, scholarship/creative activities, and service.

2.2 The initial distribution of job responsibility percentages shall be included as part of the appointment letter for new hires. The specification of such job responsibility percentages must be approved by the Dean. The distributions of job responsibility

percentages may be specified using ranges of values for each of the categories of teaching, scholarship/creative activities, and service.

- 2.3 The distribution of job responsibility percentages for each faculty member must be consistent with the University's APT document.²
- 2.4 If not specified by the academic unit, tenure-line faculty members will have the following distribution of job responsibility percentages: 40% teaching / 40% scholarship-creative activities / 20% service. In accordance with Section 2.2.3 of the APT document, faculty members in the Teaching Professorial Series shall have between 90% and 100% of their job responsibilities devoted to teaching, participation in shared governance, and service to the University, profession, and public, and between 0% and 10% devoted to scholarship and creative activity. More than 10% of job responsibilities for faculty members in the Teaching Professorial Series may be devoted to scholarship and creative activity only with the approval of the Dean and Provost. The distribution of job responsibility percentages for faculty members in other Faculty Series will be established by the academic unit.
- 2.5 The distribution of job responsibility percentages for each faculty member is recorded in the annual review report. This distribution may be changed following the procedures in Sections 2.6, 6.2, and 6.3. If the job specifications in the annual review report differ from the job specifications in the prior year's annual review report, the new job specifications must be denoted as applying either indefinitely or for a given time period, after which the distributions revert to the prior specifications.
- 2.6 Faculty members may request a change or agree to a change in the distribution of their job responsibilities and their job responsibility percentages. Any such request or agreement must be negotiated with the administrative head of the academic unit and must receive the approval of the Dean. Both the request and its approval must take into consideration the impact of such a change on the academic unit and the broader University.
- 2.7 An academic unit may decide whether the distribution of job responsibilities (and the distribution of job responsibility percentages) of each faculty member in the academic unit (and the rationale for these distributions) is to be shared with other faculty members in the academic unit.

3 PROFESSIONAL DEVELOPMENT ACTIVITIES

Both faculty members and academic units can benefit when faculty members engage in professional development activities (both inside and outside the University). Professional development is expected to be an ongoing activity of faculty members.

- 3.1 A faculty member may apply for additional resources for professional development activities in the areas of teaching, scholarship/creative activity, and/or service.
- 3.2 The administrative head of an academic unit may suggest that a faculty member engage in appropriate professional development activities in teaching, scholarship/creative activities, and/or service. Except under circumstances specified in Section 6, such professional development activities (and resources for such activities) must be negotiated between the faculty member and the administrative head of the academic unit.

4. PEER-TO-PEER (P2P) CONVERSATIONS

Conversations among peers can take many forms. As defined herein, a “peer-to-peer” (P2P) conversation is a particular type of deliberate conversation and is not intended to be the same as or to replace any other form of conversation among peers. The present section applies only to this special form of P2P conversations as defined herein.

Suggested policies and procedures for P2P conversations are posted on the Faculty Senate web site which is currently at <http://www.du.edu/facsen>.

A peer-to-peer (P2P) conversation focuses on a challenge, issue, or question in the faculty member’s professional life as a way of promoting continual renewal and growth. A peer-to-peer (P2P) conversation is initiated by a faculty member with a small number of faculty members, staff, and/or administrators.

4.1 Each academic unit shall establish policies and procedures for convening P2P conversations. Suggested practice is that all faculty members convene a peer-to-peer conversation at least once every three years, especially within three years following:

- Initial appointment
- Promotion to Associate Professor
- Promotion to Professor

4.2 The content of a P2P conversation is to remain non-evaluative. Such conversations are to be private among the participants involved and the contents of the conversations may not be disclosed except as required by law and/or University policies and procedures, such as those regarding harassment and discrimination. The fact of participation in and the content of a P2P conversation may not be used in personnel decisions, including decisions about pay or job responsibilities.

4.3 The faculty member who initiates a P2P conversation is called the faculty convener. Faculty members’ annual summary of professional activities will permit the faculty conveners to record their participation in a P2P conversation. In the faculty members’ annual summary of professional activities, faculty conveners may (at their discretion) list the date of the P2P conversation. At their discretion, faculty conveners may also enter into their annual summary of professional activities a brief reflection on the P2P conversation they convened. To maintain confidentiality, the reflection may not reveal what was said by the committee members in the P2P conversation.

4.4 Persons invited by the faculty convener to participate in the P2P conversation are called the committee members. At their discretion, faculty members may record their participation in a P2P conversation in their annual summaries of professional activities. At their discretion, committee members may also list the date of the P2P conversation. But committee members may not list the name of the faculty convener nor enter anything about the content of a P2P conversation.

5. ASSESSMENTS OF JOB PERFORMANCE

5.1 The annual review report shall include an assessment of the faculty member’s performance in each of the three areas of job responsibility (teaching, scholarship/creative activity, and service) for the prior academic year with a justification for each assessment.

5.2 The annual review report shall also include an overall assessment of performance based on the faculty member's distribution of job responsibility percentages for the prior academic year with a justification for the assessment.

5.3 Suggested assessment categories are:

- exceeds expectations
- meets expectations
- does not meet expectations

An academic unit may establish different (or additional) assessment categories. If the academic unit does not establish different (or additional) categories, the academic unit shall use the suggested assessment categories. The categories used by the academic unit must be approved by the Dean.

5.4 Based on assessments of job performance, a faculty member may be given one or more warnings of unsatisfactory job performance. If a warning is issued, it must be recorded explicitly in the annual review report using the label of "warning of unsatisfactory job performance" with a justification for the warning. If a warning is issued, the warning must specify whether the warning is for unsatisfactory performance in teaching, scholarship/creative activity, service, and/or overall performance. The first time a warning is issued, the faculty member must meet with the administrative head of the academic unit. If a subsequent warning is issued, the faculty member must meet with the administrative head and the Dean after each warning.

5.5 The criteria for assessments of job performance (including warnings of unsatisfactory job performance) shall be determined by the academic unit with the approval of the Dean.

6. CONSEQUENCES OF WARNINGS OF UNSATISFACTORY JOB PERFORMANCE

6.1 If a faculty member receives a warning of unsatisfactory job performance in any of the three job responsibility categories or in the overall assessment of job performance, the annual review report shall describe what the faculty member must do to avoid a similar assessment in subsequent years. After receiving an annual review report containing one or more warnings of unsatisfactory job performance, a faculty member must file a written plan with the administrative head (who must approve the plan) specifying what actions will be undertaken to avoid such a warning or warnings in subsequent years. A timeline for undertaking and completing specified actions must be a part of the plan. The faculty member must complete the plan and specify the actions taken in subsequent annual summaries of professional activities.

6.2 If a faculty member receives a warning of unsatisfactory job performance of the same kind (i.e., in teaching, scholarship/creative activity, service, or overall performance) for three out of five years, the administrative head may mandate that the faculty member change the distribution of job responsibilities (and/or job responsibility percentages) and/or engage in professional development activities to improve performance.³

6.3 Before mandating a change in the distribution of job responsibilities (and/or job responsibility percentages) and/or participation in professional development activities, the administrative head must attempt to negotiate with the faculty

member appropriate changes in the distribution of job responsibilities (and/or job responsibility percentages) and/or participation in development activities that are mutually agreeable to both parties. If a mutually agreeable resolution cannot be reached after negotiation, the administrative head may mandate specific changes in the distribution of job responsibilities (and/or job responsibility percentages) and/or participation in professional development activities. Both a faculty member and the academic head may have a representative or observer present during negotiations or during discussions when changes or actions are mandated.

- 6.4 Any negotiated or mandated changes in the distribution of job responsibilities (and/or job responsibility percentages) shall be specified in a written plan and approved by the administrative head and Dean. The written plan shall specify when the changes are to take place.
- 6.5 If professional development activities are either negotiated or mandated, the activities shall be specified in a written plan and approved by the administrative head and the Dean. The written plan shall include time lines for accomplishing the professional development activities. A faculty member must file a written report (to be included in the faculty member's annual summary of professional activities) in which the faculty member describes (and documents where appropriate) participation in the professional development activities and reflects on how such activities led to changes in teaching, scholarship/creative activities, service, and overall job performance as appropriate.

¹ "Academic unit" is the smallest unit such as center, department, division, school, or college to which a faculty member is appointed.

² The APT document can currently be found at: <http://www.du.edu/facsen/documents>

³ Nothing in the present document curtails the application of the University's Employee Grievance Process which can be found at: <http://www.du.edu/facsen/documents>