

## **Proposed Annual Faculty Review Process**

**Prepared by Ad-Hoc Committee on Faculty Reviews (Blumenthal, Hathaway, Knox, Mynlieff, Nolette)**

**College of Arts and Sciences**

**8/8/21**

This proposal is designed to consolidate and standardize the annual faculty review processes so that they occur at one timepoint in the academic year. In addition to the overarching goal of providing constructive feedback on performance, reviews of faculty inform recommended merit raises, teaching loads, and progress towards promotion. The process outlined below:

- Saves faculty time by not requesting multiple versions of the same information throughout the year.
- Ensures that faculty, from the time they arrive at MU, begin building a c.v. according to the format that will be required for P&T.
- allows Chairs to begin the process of securing external reviewers for purposes of promotion and tenure early in the spring semester.

Department Chairs or departmental bylaws may require additional documents (e.g. formula-based forms for workload or merit pay calculations), but the College's standard expectation will be a one-page cover document and c.v.).

**This process applies to all full-time faculty (regular and participating).**

### **A. Purpose:**

Faculty will be reviewed at the end of each calendar year (January to December). This annual review report, submitted by the faculty member, will be used to:

1. Calculate teaching loads (based on the department's workload documents, if applicable).
2. Calculate recommended merit raises.
3. Assess a faculty member's progress toward promotion and tenure, including:
  - a. faculty in their third year who wish to apply for Way Klingler fellowships in February.
  - b. faculty in their sixth year who are time-bound for promotion and tenure.
  - c. faculty who wish to be considered for promotion and tenure prior to their time-bound year.
  - d. faculty who wish to be considered for promotion to full professor.

### **B. Instructions:**

1. On the **first Monday in January (the first Monday in December for faculty undergoing third-year reviews)**, all regular faculty submit to their department Chair a c.v. that is formatted according to the University's expectations for the Promotion and Tenure dossier (see Appendix A).

- Appendix B provides a recommended model for the humanities and social sciences.
  - Appendix C provides a recommended model for the sciences.
  - Some flexibility in terms of layout and category is allowed, per disciplinary practices. Uniformity within departments is strongly encouraged.
2. On the c.v., faculty should clearly indicate, preferably by literally highlighting the entries, all work in research, teaching and service that has been completed during the previous calendar year (January to December).
  3. Faculty should also provide a cover letter (1-page maximum) that briefly summarizes their major accomplishments over the past year and outlines their goals for the coming year.
  4. By this time, faculty should also update all information in the Faculty Activities Database (or other tool used by the University). Because the FAD is used by other university offices to determine research, teaching, and service achievements by department and college, faculty are required, by the college, to update their individual database annually, at this point in the year.
  5. Full-time participating faculty must be reviewed in their first year and at least triennially thereafter. Those participating faculty being reviewed should submit an annual report using either the [university template](#) or an equivalent departmental form.

### C. Review Processes:

Review processes may differ by department, but all should include the following steps.

1. Upon receipt of the annual activity reports described here, the department Chair will review each file and contact the faculty member with any questions or clarifications.
2. **By the end of December**, the third-year review of junior faculty must take place, per the department's practices, and faculty should be provided with the outcome of this review so that they can apply for the Way Klingler Early Career Award. See Appendix D for the University policy and instructions about this review. Note that the third-year review should be provided to the Dean for approval before it is sent to the faculty member.
3. **In January or early February**, departments should meet to conduct:
  - a. the annual review of junior faculty
  - b. the review of associate professors at least biennially or triennially, depending on department or college procedures. Any associate professor planning on submitting a promotion dossier the following fall may request a departmental review.

**\*\*This marks a change in past practices, but that is the point. Moving this process to February allows for evaluation of merit, workload and progress toward P&T all at once.**

4. **In mid-February**, the Chair will provide draft annual review letters to the Dean for all regular faculty (not only those reviewed in step C-3) and those full-time participating faculty being reviewed. Letters will be revised in consultation with the Dean and provided to the faculty (except for those reviewed in step C-3) by the end of February. Faculty will have the option of responding in writing if they so choose.
5. **By the end of February**, Chairs should, at minimum, meet with:

- a. faculty who are time-bound for promotion and tenure to discuss preparation of the dossier and get recommendations from them of possible external reviewers;
  - b. faculty who wish to be considered for promotion and tenure prior to their time-bound year for an assessment of their progress toward this goal;
  - c. faculty who wish to be considered for promotion to full professor for an assessment of their progress toward this goal; and
  - d. full-time participating faculty being reviewed that year.
  - e. As a best practice, Chairs are also encouraged to meet with faculty not covered by the categories above to discuss faculty activities and future goals.
6. **By the end of March**, all faculty reviewed in step C-3 should receive their annual review letters from the Chair. Because these annual review letters will be included in promotion dossiers, the later deadline for these faculty allows for the letters to be reviewed and approved by all senior faculty in the department.

## Appendix A

### University Guidelines for CV Format for Promotion/Tenure

This is excerpted from the “PROMOTION AND TENURE INFORMATION INCLUDING INSTRUCTIONS TO PREPARE A DOSSIER FOR REGULAR FACULTY” (REVISED - April 1, 2021)

#### 1.3 Curriculum Vitae (Required)

A current copy of the candidate’s curriculum vitae (CV) must be included. Candidates may use the Faculty Activities Database to create the CV or use an alternative style if desired. In either case, particular attention should be paid to the following points:

- For each listing of items, begin with the most current and work back toward the earliest works.
- Distinguish between scholarly work completed prior to arriving at Marquette and scholarly work completed at Marquette. Candidates seeking promotion to (full) professor must clearly indicate which publications, grants, awards and so forth occurred after promotion to associate professor.
- Clearly distinguish between scholarship that is peer reviewed and that which is not peer reviewed by using separate headings.
- Manuscripts in press may be noted under publications and clearly identified as such.
- Work in progress should be listed separately after the listing of published and in-press works.
- Delineate the “level” of presentations: local, regional, national, or international; invited vs. refereed, as appropriate.
- Place refereed and non-refereed conference *publications* into separate categories.
- Place refereed and non-refereed conference *presentations* into separate categories.
- Include all authors in published order and provide inclusive page numbers of all publications.

**Appendix B: Humanities and Social Sciences CV Format**  
**All entries should be listed from most recent to oldest.**

Following each entry under “Scholarship” and subsequent categories, indicate the following:

- (1) Your rank when the item was completed, by including the parenthetical (as Assistant/Associate/Full Professor) at the end of each entry.
- (2) Whether the item was completed before your arrival at Marquette, by including the parenthetical (completed prior to Marquette) at the end of relevant entries.

**Name, Ph.D.**  
**Assistant Professor of X**

**Curriculum Vitae**

**EDUCATION**

Year	Degree	College/University
Year	Degree	College/University
Year	Degree	College/University

**CAREER HISTORY**

Dates	Title	Institution
Dates	Title	Institution

**SCHOLARSHIP**

**Books**

*In Print*

2020 Title, Publisher.

*In Press*

2021 Title, Publisher, expected publication date.

*In Progress*

2021 Title, Publisher, current status.

**Peer-Reviewed Scholarly Articles**

*In Print*

2020 “Why Adopt a Puppy?”, *Journal of Abnormal Psychology*, 23:1 (2020): 44-144.

*In Press*

2020 Title, Publisher, Volume/number, pp #s.

*In Progress*

2021 Title, for submission to X journal, publisher, current status of article.

**Non-Peer Reviewed Scholarly Articles***In Print*

2020 “The Law of Dog Parks: A Critical Note”, *Animal Law Review*, 23:1 (2018): 23-144.

*In Press*

2020 Title, Publisher, Volume/number, pp #s.

*In Progress*

2021 Title, for submission to X journal, publisher, current status of article.

**Book Chapters***In Print*

2020 Chapter title, book title, publisher, date, pp #s.

*In Press*

2021 Chapter title, book title, publisher, date, pp #s.

*In Progress*

2021 Title, book title, publisher, due date for submission.

**Book Reviews***In Print*

2017 Title of reviewed book, Journal, pp #s.

*In Press*

2021 Title of reviewed book, Journal, pp #s.

*In Progress*

2021 Title of reviewed book, Journal, pp #s.

**Encyclopedia/Research Guide Entries***In Print**In Press**In Progress***Other Publications and Public-Facing Work***Short-Form Public Scholarship**Blogs**Magazine articles*

*Op-Eds*

*Etc.*

### **MEDIA CONTRIBUTIONS**

2020 “Meet the Press,” Invited discussant, Presidential Election, December 1, 2020.

### **CONFERENCE PRESENTATIONS**

2020 Paper Title, Conference Name, Location, Date, International/National/Regional/Local, Peer-reviewed or refereed.

2019 “ ”

2018 “ ”

### **FELLOWSHIPS and GRANTS**

#### *Funded*

2020 Summer Faculty Fellowship, Marquette University, awarded Dec. 2020. Project: “How to Continue Trying to Be a Better Person,” funding amount.

2019 National Endowment for the Humanities, awarded February 2019. Project: “How to Start to Be a Better Person,” funding amount.

#### *Pending*

2021 Agency, Project Title, funding requested.

#### *Not Funded*

2020 Agency, Project Title, funding requested.

### **HONORS and AWARDS**

2020 Better Person Aspirant Award, MUSG, Milwaukee, WI.

2019 “ ”

### **SERVICE**

#### **Profession**

#### *Committees*

2020 Treasurer, Books R Us, dates.

#### *Promotion and Tenure Reviewer*

(no dates—just institution)

University of Hawaii

University of Florida

*Manuscript Reviewer*

2020 Press

2020 Journal title

*Membership in Learned Societies*

Society, dates, role if office held

**University** (list by date, most recent to oldest)

2020 Committee on the Caucus for the Creation of the Committee on Committees, position, dates served.

2019 Pre-major advisor, 12 students.

**College**

2019 Committee on Teaching, position, dates served.

2018 Ad-Hoc Committee on the Future of the Universe, position, dates served.

**Department**

*Committees*

2017 XXXX, position, dates served.

*Dissertations Directed*

2012 Smartest Student Ever, Dissertation Title, date of graduation

2011 " "

*Dissertation Committee Member*

2014 Smartest Student Ever, area (if applicable), Dissertation Title, date of graduation

*Dissertation Qualifying Exam Member*

2020 Hope they Pass, area (if applicable), exam date

**COMMUNITY ENGAGEMENT**

2013 Speaker, "A More Perfect Union" Book Read, Wisconsin Humanities Council, New Berlin Library, date.

2011 Member, St. Stanislaus Church Council, Milwaukee, WI, dates.

**OTHER CONTRIBUTIONS**

2013 Ralph H. Metcalfe Chair Host, Dr. Julie Jones, University of Manoa, February 12-14, 2013.



## Appendix C: Sciences CV Format

All Entries should be listed from most recent to oldest for each category. For publications, meetings, talks, etc. list the year once in the left margin for all items that belong in that year rather than repeating it over and over.

For grants use the term used in the grant for type of contribution: i.e. Principal investigator, Co-Principal investigator, co-investigator, etc.

For papers, use the following for type of contribution:

- a. Primary – First author, corresponding author, and/or senior author (essentially emanating primarily from the faculty member’s research program and lab)
- b. Equitable – used when two individuals equally share a “primary” description
- c. Secondary – collaboration with another lab that is the primary driver of the research.
- d. Minor – when the faculty’s lab members only have a small contribution to the project.

For both grants and papers, percent responsibility should be the responsibility of your whole research group at Marquette. Essentially all of your graduate students’ work is still your responsibility even if they are executing the work.

Name, Ph.D.  
Assistant Professor of X

### Curriculum Vitae

#### EDUCATION

College/University	B.S.	Year
University	Ph.D.	Year

#### HONORS AND FELLOWSHIPS

**Date(s)** List Honors/fellowships, Organization or University

#### RESEARCH AND ACADEMIC EXPERIENCE

**Date(s)** Assistant Professor, Department of Biological Sciences, Marquette University

**Date(s)** Postdoctoral Fellow, Department of XXXX, Where

#### RESEARCH GRANTS AWARDED

Post-tenure at Marquette University

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**Year** Title. **Agency**

Grant Type:  
 PI:  
 Total Award Amount: \$XX,XXX (\$XX,XXX direct)  
 Total Award Period:  
**Type of Contribution: Primary**  
**Percentage of your responsibility: 100%**

Pre-tenure at Marquette University

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**Year Title. Agency**

Grant Type:  
 PI:  
 Total Award Amount: \$XX,XXX (\$XX,XXX direct)  
 Total Award Period:  
**Type of Contribution: Primary**  
**Percentage of your responsibility: 100%**

Prior to Marquette University

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**Year Title. Agency**

Grant Type:  
 PI:  
 Total Award Amount: \$XX,XXX (\$XX,XXX direct)  
 Total Award Period:  
**Type of Contribution: Primary**  
**Percentage of your responsibility: 100%**

**RESEARCH GRANT PROPOSALS NOT FUNDED**

**Year Title. Agency**

Grant Type:  
 PI:  
 Total Award Amount requested: \$XX,000  
 Submitted:

**RESEARCH GRANTS PROPOSALS PENDING**

**Year Title. Agency**

Grant Type:  
 PI:  
 Total Award Amount requested: \$XX,000  
 Submitted:

**REFEREED PAPERS (TWO OR MORE REVIEWERS)**Post-tenure at Marquette University

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**Year**            Authors (year). Title. *Journal*, Vol:pages numbers.  
**Type of Contribution:**  
**Percentage of your responsibility:**

Pre-tenure at Marquette University

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**Year**            Authors (year). Title. *Journal*, Vol:pages numbers.  
**Type of Contribution:**  
**Percentage of your responsibility:**

Prior to Marquette University

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**Year**            Authors (year). Title. *Journal*, Vol:pages numbers.  
**Type of Contribution:**  
**Percentage of your responsibility:**

**REPOSITORY OF UNPUBLISHED MANUSCRIPTS (NOT PEER REVIEWED)**Post-tenure at Marquette University

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**Year**            Authors (year). Title. *Repository name*, link  
**Type of Contribution:**  
**Percentage of your responsibility:**

Pre-tenure at Marquette University

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**Year**            Authors (year). Title. *Repository name*, link  
**Type of Contribution:**  
**Percentage of your responsibility:**

Prior to Marquette University

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**Year**            Authors (year). Title. *Repository name*, link  
**Type of Contribution:**  
**Percentage of your responsibility:**

**PAPERS (NOT PEER REVIEWED)**Post-tenure at Marquette University

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**Year**            Authors (year). Title. *Journal*, Vol:pages numbers.  
**Type of Contribution:**  
**Percentage of your responsibility:**

Pre-tenure at Marquette University

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**Year** Authors (year). Title. *Journal*, Vol:pages numbers.  
**Type of Contribution:**  
**Percentage of your responsibility:**

Prior to Marquette University

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**Year** Authors (year). Title. *Journal*, Vol:pages numbers.  
**Type of Contribution:**  
**Percentage of your responsibility:**

#### **PAPERS (UNDER REVIEW)**

**Year** Authors (year). Title. Under review at *Journal*.  
**Type of Contribution:**  
**Percentage of your responsibility:**

#### **PAPERS (IN PREPARATION)**

**Year** Authors (year). Title. In preparation.  
**Type of Contribution:**  
**Percentage of your responsibility:**

#### **CHAPTERS IN BOOKS AND INVITED PAPERS**

Post-tenure at Marquette University

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**Year** Authors (year). (Chapter) Title. *Book (editor) or Journal with Vol:pages numbers*  
**Type of Contribution:**  
**Percentage of your responsibility:**

Pre-tenure at Marquette University

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**Year** Authors (year). (Chapter) Title. *Book (editor) or Journal with Vol:pages numbers*  
**Type of Contribution:**  
**Percentage of your responsibility:**

Prior to Marquette University

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**Year** Authors (year). Chapter) Title. *Book (editor) or Journal with Vol:pages numbers*  
**Type of Contribution:**  
**Percentage of your responsibility:**

#### **SCIENTIFIC MEETINGS ATTENDED**

Post-tenure at Marquette University

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**Year** Meeting title, Place, dates.  
**Local/Regional/National/International**

Pre-tenure at Marquette University

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**Year** Meeting title, Place, dates.  
**Local/Regional/National/International**

Prior to Marquette University

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**Year** Meeting title, Place, dates.  
**Local/Regional/National/International**

### **PAPERS PRESENTED AT SCIENTIFIC MEETINGS**

Post-tenure at Marquette University

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**Year** Authors. Title. Meeting, Where, When. (Poster presented by Who)  
**Local/Regional/National/International**

Pre-tenure at Marquette University

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**Year** Authors. Title. Meeting, Where, When. (Poster presented by Who)  
**Local/Regional/National/International**

Prior to Marquette University

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**Year** Authors. Title. Meeting, Where, When. (Poster presented by Who)  
**Local/Regional/National/International**

### **MEMBERSHIP IN LEARNED SOCIETIES**

Society, dates

### **SPECIAL ACTIVITIES WITHIN LEARNED SOCIETIES**

#### **INVITED TALKS**

Post-tenure at Marquette University

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**Year** Title. Where, when.

Pre-tenure at Marquette University

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**Year** Title. Where, when.

Prior to Marquette University

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**Year** Title. Where, when.

### **MANUSCRIPTS AND GRANTS REVIEWED**

**Year** Reviewer for X, 1 paper  
 Reviewer for Y, N paper(s)  
 Reviewer for X grant panel

### **STUDENT AND POSTDOCTORAL FELLOW MENTORING**

#### **Postdoctoral Fellow Mentor**

**Years**

Name, current position.

#### **Dissertation Director (Ph.D.)**

**Years** Name, PhD student (pre-qualifier), candidate (post-qualifier) or graduate with final year.  
 Project title.

#### **Thesis Director (M.S.)**

**Years** Name, M.S. student (pre-qualifier), candidate (post-qualifier) or graduate with final year.  
 Project title.

#### **Ph.D. Dissertation Committee Member**

**Years** Name

#### **Master Thesis Committee Member**

**Years** Name

#### **Undergraduate Research Students**

**Years** Name, program (MU4Gold, SRP, BIOL 4956, etc).  
 Post grad destination if known

### **DEPARTMENT AND UNIVERSITY COMMITTEES**

*(List items in chronological order, most recent first)*

**Department**

Academic year Committee, position (member or chair)

**College**

Academic year Committee, position (member or chair)

**University**

Academic year Committee, position (member or chair)

**TEACHING RESPONSIBILITIES****Year****Fall semester**

BIOL XXXX – Title, x credits, enrollment, (TA supervised)

**Summer semester**

BIOL XXXX – Title, x credits, enrollment, (TA supervised)

**Spring semester**

BIOL XXXX – Title, x credits, enrollment, (TA supervised)

**COMMUNITY ENGAGEMENT ACTIVITY****OTHER CONTRIBUTIONS**

**Appendix D: Provost Policy on Third-Year Review**  
(<https://www.marquette.edu/provost/additional-resources.php>)  
As of 5/4/21

### THIRD YEAR REVIEWS

#### Third Year Review Guidelines:

A formal, comprehensive review is required for all non-tenured regular faculty by Spring semester of their third year. While each college may specify the process, all must produce a written evaluation of teaching, research and service noting strengths, weaknesses, recommendations and a concluding judgment. If the timebound year is extended due to ABD status at time of hire or any other approved leave of absence for one semester or more, the third year review will be extended by one year.

Based upon the judgment, one of the following recommendations should be made to the dean:

1. The non-tenured faculty member has performed extraordinarily well in teaching and scholarship, and service is at least satisfactory. The person may be considered for tenure and promotion before his/her time-bound year.
2. Teaching, scholarship and service are developing satisfactory but more time will be needed before a definitive recommendation on promotion and tenure can be made by the department.
3. Significant problems are evident in teaching and/or scholarship (specify one or both). Performance is not at expected level. Progress will be monitored in annual reviews, with potential for non-renewal of contract after the fourth or subsequent years.
4. The problems in teaching and/or scholarship are so serious that the faculty member's fourth year will be his/her last year of employment.

The department chair presents the overview to the dean for approval. Next, the chair presents the evaluation to the faculty member, allowing written response. For judgment 'c' and 'd', the dean writes the formal letter of contingent contract or last contract. A copy of the review should be sent to the Office of the Provost with related dean letter when applicable. The Third Year Review is to be included in the Promotion and tenure Dossier.

#### Subsequent Annual Reviews:

Following the third-year review, all non-tenured regular faculty are to have written annual reviews regarding progress toward promotion. Peer review of teaching is a required component of the annual review. Copies of annual reviews are included in Promotion and Tenure Dossiers.