

Professional Development and Evaluation Procedures

PROLOGUE

The professional development and evaluation of faculty is vital to maintaining a quality university. Continuing improvement in teaching, service to students, scholarship, and service to the university and community is the hallmark of professional development at a university and should be a primary goal of every faculty member. Faculty and administrators both have a significant interest in supporting the professional development of every faculty member. Faculty members within a department have a critical stake in the professional development of their departmental colleagues and are best suited to aid in and evaluate that development.

In developing these procedures, the committee took into account Articles 20, 22, and 25 of the MnSCU/IFO Master Agreement and incorporated them into a single set of procedures. The goals of the committee in preparing these procedures are to develop a system that

1. provides a clearer structure for departmental mentoring of colleagues,
2. is effective in evaluating professional development,
3. is more efficient for faculty, departments, and administrators, and
4. reduces the workload and paperwork for faculty, administrators, and staff.

The process focuses on the continued professional development and mentoring of faculty by the department and the Dean/supervisor through all phases of one's career. The process for all faculty members, probationary, fixed-term, non-tenure track, and tenured alike, revolves around the development of a Professional Development Plan (PDP) and a Professional Development Report (PDR) on one's accomplishments. The PDP and PDR will be reviewed and evaluated by the department and department Chairperson. The Dean or immediate supervisor will review the PDP and evaluate the faculty member based on the PDR. The Provost and President will review the dean's assessment of probationary faculty annually. The Professional Development and Evaluation process is intended to mentor the faculty member in their professional development and provide a mechanism to evaluate achievements in order to make personnel recommendations and decisions.

On September 14th, 2004, the SCSU Meet and Confer ad hoc Article 22 Committee prepared the following resolution concerning the Professional Development and Evaluation procedures at SCSU. This statement was approved by the Faculty Senate and accepted by the SCSU administration on September 14, 2004.

We agree that Article 22 is problematic for both faculty and administration. Therefore, we believe there is a need to establish clear and unambiguous professional development procedures. It is our recommendation that the local FA and the local Administration begin discussion on a plan of modification that would result in a Letter of Understanding (LOU) changing Article 22 of the IFO MnSCU Master Agreement.

In the meantime, the SCSU Meet and Confer ad hoc Article 22 Committee, representing the Faculty Association and the Administration, agrees that:

1. The department should provide written comments on both the PDP and PDR.
2. The department may form a committee to respond to the PDP and the PDR.
3. The Deans at SCSU have incorporated requests for comments on both PDP and PDR in the published process.
4. Any written comments given to the Dean or the Department chair must be given to the faculty member for response. These comments must be related to the goals of the department, the college and the University; must be limited to the five criteria; and must be signed and dated. All these comments plus responses from the faculty member will be placed in the faculty member's official personnel file.

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PROBATIONARY FACULTY

Probationary faculty will prepare a PDP and PDR annually for the purpose of professional development, mentoring, and evaluation. These documents will serve to make decisions by the university regarding non-renewal.

		Newly Hired (Fall 06)	Newly Hired (Spring 07)	2 nd year	Years 3-4	Tenure year ¹
PDP Development	Step 1. Consult with Dean or Supervisor by:	9-8-06	1-19-07	9-8-06	4-11-06	4-11-06
	Step 2. Submit PDP to department via the Chairperson by:	9-27-06	2-2-07	9-27-06	9-06-06	9-06-06
	Step 3. Dept., Dept. members' and Chair's comments to faculty member by:	10-18-06	2-9-07	10-18-06	9-20-06	9-20-06
	Step 4. PDP, and comments to Dean or Supervisor by:	10-18-06	2-9-07	10-18-06	9-20-06	9-20-06
	Step 5. Dean or Supervisor sends her/his comments on PDP to faculty member and HR file by:	11-08-06	2-16-07	11-08-06	10-11-06	10-11-06
	Step 6. Faculty member's written response to Dean's or Supervisor's comments by:	11-15-06	2-26-07	11-15-06	10-18-06	10-18-06
PDR Review	Step 7. PDR, documentation to department via the dept. chair by:	5-17-07	5-17-07	3-01-07	3-01-07	3-01-07
	Step 8. PDR and comments on PDR to Dean or Supervisor by:	9-05-07	9-05-07	9-06-06 3-28-07	3-28-07	3-28-07
	Step 9. Meet with Dean or Supervisor to discuss PDR and next PDP by:	9-12-07	9-12-07	9-13-06 4-11-07	4-11-07	4-11-07
	Step 10. Dean's or Supervisor's written assessment to faculty and copy to Provost and HR file by:	9-26-07	9-26-07	9-27-06 5-7-07	5-7-07	5-7-07
	Step 11. Faculty member's written comments on Dean's or Supervisor's assessment to Provost and HR file by:	10-3-07	10-3-07	10-4-06 5-17-07	5-17-07	5-17-07

1 Faculty members in the last year of their tenure period must follow this timeline and submit a tenure application.

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DEFINITION OF STEPS IN FACULTY DEVELOPMENT AND EVALUATION PROCESS

PROFESSIONAL DEVELOPMENT PLAN (PDP) DEVELOPMENT

Step 1. Consult with Dean or supervisor.

"Each faculty member shall, after consultation with their immediate supervisor, prepare a professional development plan (PDP) for the period to be covered by the evaluation. The PDP shall include specific objectives, methods, and expected achievements in respect to the criteria in Section B. Faculty members may place different emphases on the various criteria so long as such emphases are consistent with department goals and university policy. For faculty with teaching assignments, the PDP shall include a process for student assessment." (Article 22, Section D, Subd. 1.)

Probationary faculty members are advised as follows:

"The decision to award tenure shall be based on the principle of a demonstrated cumulative record of positive performance and professionally competent achievement consistent with the goals of the institution over the duration of the probationary period on the criteria outlined in Article 22. Annual evaluations that are minimally satisfactory and are used in part, in the tenure decision, may result in the denial of tenure." (Article 25, Section A, Subd 1.)

Input from the Dean or supervisor is essential in developing a PDP that is consistent with the mission and goals of the department, college, and university. During a faculty member's first year, this consultation is essential in learning how to construct a PDP. Many Deans/supervisors hold a meeting with all first-year probationary faculty members to explain the process and aid in developing the first year PDP. Additionally, first year faculty should consult with various members of their department for input on constructing their PDP. In subsequent years, a rough draft of the faculty member's PDP is usually presented to the Dean before the consultation, so that more direct guidance and comments can be offered before the actual PDP is submitted.

It is recommended that the PDP be organized around the criteria of Article 22, Section B of the MnSCU/IFO Master Agreement. Faculty members may also wish to consult Appendix G of the MnSCU/IFO Master Agreement.

Step 2. Submit PDP to department via the Chairperson.

"When the plan is completed, the faculty member shall provide a copy of the plan to the department members through the department chairperson." (Article 22, Section D, Subd. 1.)

Before submitting a PDP to the department, faculty members should have various members of the department review a rough draft of their PDP and plan to make improvements if needed. The completed PDP should then be given to the department chairperson for distribution to the department. The department should comment on the plan and determine how the PDP relates to departmental mission and goals.

Step 3. Department's, Department members', and Chair's Comments to faculty member.

"Department members are encouraged to provide written comments on the PDP to assist the faculty member in his/her professional development and, if applicable, provide guidance with respect to promotion and/or tenure. These written comments will be forwarded to the faculty member. ... Before commenting, the Dean, his/her administrative designee, or other appropriate supervisor may consult with the department chairperson and with other members of the department to determine how the plan related to departmental goals and objectives." (Article 22, Section D, Subd. 1.)

The department, individual department members, and department chair should provide written comments to the faculty member and the Dean on how the PDP relates to Article 22, Section B criteria and to departmental, college, and university goals and objectives. Comments by the department, department members, and department chairperson are to be forwarded to the faculty member and to the Dean/supervisor. If department members and/or the department chair wish to make preliminary comments and give the faculty member an opportunity to make revisions, the final comments must still meet the published deadlines.

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Step 4. PDP, Department's, Department members', and Dept. chair's comments to Dean or Supervisor.

The Dean will review the PDP and the comments of the department, department members, and department chair before preparing a written response to the PDP.

Step 5. Dean or supervisor sends her/his comments on PDP to faculty member and HR file.

"The Dean, his/her administrative designee, or other appropriate supervisor shall comment on the plan. These written comments shall provide information to assist the faculty member in his/her professional development and, if applicable, provide guidance with respect to personnel decisions. Before commenting, the Dean, his/her administrative designee, or other appropriate supervisor may consult with the department chairperson and with other members of the department to determine how the plan relates to departmental goals and objectives. Copies of the plan together with comments added shall be maintained as part of the faculty member's official personnel file." (Article 22, Section D, Subd. 1.)

The Dean's office is responsible for sending their comments to HR for inclusion in the personnel file.

Step 6. Faculty member's written response to Dean's or Supervisor's comments.

"The faculty member shall have an opportunity to respond to these comments." (Article 22, Section D, Subd. 1.)

The faculty member has the right to prepare a written response to the Dean's comments. This response should be signed and dated and will be placed in the faculty member's permanent personnel file. The Dean's office is responsible for sending these comments to HR for inclusion in the personnel file.

PDR Review

Step 7. Professional Development Report (PDR), documentation to department via the dept. chair.

"At the end of the evaluation period, the faculty member shall prepare a report and send it to the Dean, together with appropriate documentation describing progress made in respect to achieving his/her objectives as specified in his/her professional development plan. A copy of the report shall be sent to the department members through the department chairperson." (Article 22, Section D, Subd. 2.)

It may be beneficial for the faculty member to discuss the PDR with various members of the department before submission of the final PDR to the department.

The PDR should address and fully document achievements in regard to the PDP and achievements beyond the PDP during the period covered by the PDP. The materials submitted are determined by the faculty member who submits the PDR. It is recommended that the PDR be organized around the Article 22, Section B criteria, generally, and specifically to the PDP. Appendix G should be consulted as a guideline for documenting achievements.

Step 7b. Summary report to Dean or Supervisor and to department via the chair.

This step is only applicable to Non-Tenure Track Full Professors and Tenured Full Professors. See the table in Article 22, Section C. Tenured and Non-Tenure Track Full Professors submit a summary PDR in year two (2) with full PDR in year four (4).

Step 8. PDR and comments from the department, department members, and dept. chair on PDR to Dean or supervisor.

"Department members are encouraged to provide written comments on the report to assist the faculty member in his/her professional development and, if applicable, provide guidance with respect to promotion and/or tenure. These written comments will be forwarded to the faculty members." (Article 22, Section D, Subd. 2.)

The department chair will forward the PDR, appropriate documentation provided by the faculty member, the comments from the department, department members' and the chair to the Dean or supervisor. Copies of the comments from the department, department members and the chair must be given to the faculty member. Comments by the department, department members and department chair must be limited to the criteria of Article 22, Section B. Department members are encouraged to provide written comments on the report to assist

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the faculty member in his/her professional development and, if applicable, provide guidance with respect to promotion and/or tenure.

If department members and/or the department chair wish to make preliminary comments and give the faculty member an opportunity to make revisions, the final comments must still meet the published deadlines.

This procedure is still being clarified by the Faculty Association and the Administration.

Step 9. Meet with Dean or supervisor to discuss PDR and next PDP.

"The faculty member will then meet with the Dean to discuss achievements made during the evaluation period." (Article 22, Section D, Subd. 3.)

This meeting serves to both review the past cycle and begin the next one. Achievements of the past year are discussed. A rough draft of the PDP for the next year is also discussed in the context of the current achievements and departmental, college, and university missions and goals.

The faculty member is encouraged to meet with their department to discuss the development of their PDR and future PDP.

Step 10. Dean's or supervisor's written assessment to faculty and copy to Provost and HR file.

"A written summary of the Dean's assessment of the faculty member's accomplishments in respect to his/her plan, as they relate to the criteria in Section B, together with suggestions to guide future professional development activities, and any upcoming application for tenure and/or promotion, shall then be sent to the faculty member and placed in the faculty member's official personnel file." (Article 22, Section D, Subd. 3.)

The PDR, department members' comments, chair's comments, and Dean's assessment shall be forwarded to the Provost and placed in the faculty member's official personnel file in Human Resources. The Dean's office is responsible for sending these materials to the HR office for inclusion in the personnel file.

Step 10b. Dean's or supervisor's written comments on Summary report to faculty and HR file.

"For the purpose of maintaining and improving effectiveness, tenured faculty members shall be evaluated and shall submit progress reports as described in this Article. The Dean shall submit written comments in response to summary reports submitted by faculty members in accordance with this Article." (Article 22, Section E.)

Step 11. Faculty member's written comments on Dean's or supervisor's assessment to Provost and HR File.

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FIXED-TERM FACULTY

Faculty members with fixed-term appointments for a single semester are not required to submit a PDP or a PDR.

Faculty members with fixed-term appointments of 0.75 FTE or more are required to submit a PDP and a PDR each year of their appointment. The department, department chair, and Dean/supervisor will evaluate the PDP and PDR.

Faculty members with fixed-term appointments of less than 0.75 are strongly encouraged, but not required, to complete a PDP and PDR following the timelines below. This will provide an evaluation that could be used to aid in future employment decisions.

Occasionally, faculty with fixed-term appointments below 0.75 FTE have their duties and/or appointments extended so that they are at or above the 0.75 FTE level. These faculty members need to complete a PDP and PDR. Timelines for this process are to be worked out and mutually agreed upon by the faculty member, department, and Dean/supervisor.

		Fixed-Term 0.75 annual FTE or more
PDP Development	Step 1. Consult with Dean or Supervisor by:	9-8-06
	Step 2. Submit PDP to department via the Chairperson by:	9-15-06
	Step 3. Dept., Dept. members' and Chair's comments to faculty member by:	9-22-06
	Step 4. PDP, and comments to Dean or Supervisor by:	9-22-06
	Step 5. Dean or Supervisor sends comments on PDP to faculty member and HR file by:	10-06-06
	Step 6. Faculty member's written response to Dean's or Supervisor's comments by:	10-13-06
PDR Review	Step 7. PDR, documentation to department via the dept. chair by:	3-30-07
	Step 8. PDR and comments on PDR to Dean or Supervisor by:	4-06-07
	Step 9. Meet with Dean or Supervisor to discuss PDR by:	4-23-07
	Step 10. Dean's or Supervisor's written assessment to faculty and HR file by:	5-10-07
	Step 11. Faculty member's written comments on Dean's or Supervisor's assessment to Provost and HR file by:	5-17-07

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NON-TENURE TRACK FACULTY

Non-Tenure Track Assistant and Associate Professors prepare a four-year PDP and annual PDRs, with a formal evaluation every four years (Article 22, Section C). Faculty may develop annual PDPs instead of four-year PDPs if they so desire.

Non-Tenure Track Full Professors prepare a four-year PDP and submit a summary report of achievements in year two, with a full PDR and evaluation in year four (Article 22, Section C). Faculty members may develop annual PDPs instead of four-year PDPs if they so desire.

		Asst., Assoc. Prof. 1 st year of eval. period	Asst., Assoc. Prof. 2 nd & 3 rd year of eval. period	Full Prof. 1 st year of eval. period	Full Prof. 2 nd year of eval. period	Asst., Assoc., & Full Prof. 4 th year of eval. period
PDP Development	Step 1. Consult with Dean or Supervisor by:	4-11-06		4-11-06		
	Step 2. Submit PDP to department via the Chairperson by:	9-6-06		9-6-06		
	Step 3. Dept., Dept. members' and Chair's comments to faculty member by:	9-20-06		9-20-06		
	Step 4. PDP, and comments to Dean or Supervisor by:	9-20-06		9-20-06		
	Step 5. Dean or Supervisor sends comments on PDP to faculty member and HR file by:	10-11-06		10-11-06		
	Step 6. Faculty member's written response to Dean's or Supervisor's comments by:	10-18-06		10-18-06		
PDR Review	Step 7. PDR, documentation to department via the dept. chair by:	3-1-07	3-1-07			3-1-07
	Step 7b. Summary report to Dean or Supervisor and to department via the chair by:				5-03-07	
	Step 8. PDR and comments on PDR to Dean or Supervisor by:	3-28-07	3-28-07			3-28-07
	Step 9. Meet with Dean to discuss PDR and, if applicable, next PDP by:	4-11-07	4-11-07			4-11-07
	Step 10. Dean's or Supervisor's written assessment to faculty with copies to Provost and HR file by:	5-7-07	5-7-07			5-7-07
	Step 10b: Dean's or supervisor's written comments on Summary report to faculty and HR file by:				5-17-07	
	Step 11. Faculty member's written comments on Dean's assessment to Provost by:	5-17-07	5-17-07			5-17-07

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TENURED FACULTY

Tenured Assistant and Associate Professors prepare a four-year PDP and annual PDRs, with a formal evaluation every four years. (Article 22, Section C) Faculty may develop annual goals instead of four-year goals if they so desire.

Tenured Full Professors prepare a four-year PDP and submit a summary report of achievements in year two, with a full PDR and evaluation in year four. (Article 22, Section C) Faculty members may develop annual PDPs instead of four-year PDPs if they so desire.

		² Asst., Assoc. Prof. 1 st year of eval. period	² Asst., Assoc. Prof. 2 nd & 3 rd year of eval. period	Full Prof. 1 st year of eval. period	Full Prof. 2 nd year of eval. period	Asst., Assoc., & Full Prof. 4 th year of eval. period
PDP Development	Step 1. Consult with Dean or Supervisor by:	4-11-06		4-11-06		
	Step 2. Submit PDP to department via the Chairperson by:	9-6-06		9-6-06		
	Step 3. Dept., Dept. members' and Chair's comments to faculty member by:	9-20-06		9-20-06		
	Step 4. PDP, and comments to Dean or Supervisor by:	9-20-06		9-20-06		
	Step 5. Dean or Supervisor sends comments on PDP to faculty member and HR file by:	10-11-06		10-11-06		
	Step 6. Faculty member's written response to Dean's or Supervisor's comments by:	10-18-06		10-18-06		
PDR Review	Step 7. PDR, documentation to department via the dept. chair by:	3-1-07	3-1-07			3-1-07
	Step 7b: Summary report to Dean or Supervisor and to department via the chair by:				5-03-07	
	Step 8. PDR and comments on PDR to Dean or Supervisor by:	3-28-07	3-28-07			3-28-07
	Step 9. Meet with Dean or Supervisor to discuss PDR and, if applicable, next PDP by:	4-11-07	4-11-07			4-11-07
	Step 10. Dean's or Supervisor's written assessment to Provost, faculty, and HR file by:	5-7-07	5-7-07			5-7-07
	Step 10b: Dean's or supervisor's written comments on Summary report to faculty and HR file by:				5-17-07	
	Step 11. Faculty member's written comments on Dean's assessment to Provost by:	5-17-07	5-17-07			5-17-07

- 2 "Faculty members who, according to this Section [Article 22, Section C.], are scheduled for evaluations less frequently than every year may request more frequent evaluations." (Article 22, Section C.) Faculty members who are tenured but not promoted to Full Professor may wish to be evaluated annually to meet Article 25 criteria for promotion. These faculty members should speak with their dean/supervisor about establishing annual evaluations. Such evaluations should follow the schedule in the first column above. Faculty members who do not plan to apply for promotion within the next four years, can use the four year cycle.