Role and Scope Document Template Instructions

This instructional guide was prepared to assist units with creating role and scope documents that are consistent with the revised policies and procedures of the 2017 Faculty Handbook.

Each academic unit (*e.g.*, department and college) will develop a **Role and Scope Document** that sets forth the standards, indicators and procedures for annual, retention, tenure and promotion reviews of faculty members.

Each section below corresponds to a section of the document template. Please use this information to develop your unit's Role and Scope Document.

Article I. Role and Scope of Unit

Instructions: Describe the unit's responsibilities and obligations in furtherance of the university.

> Background: The unit's responsibilities and obligations in the furtherance of the university. The mission statement for the university is provided below.
>
> "Montana State University, the State's land-grant institution, educates students, creates knowledge and art, and serves communities, by integrating learning, discovery, and engagement."
>
> Example language for this section:
>
> "The faculty, staff, and administrators in the Department of _____ support the fulfillment of the University's teaching, scholarship, and service mission in the area(s) of <general description of disciplines in the department>."
>
> The unit may also include a brief description of its scholarship and service. If the unit has a strategic plan, elements of the plan may be appropriate here.

Article II. Appointment and Advancement of Research Faculty

Instructions: If the unit includes research faculty as defined in the Faculty Handbook (See Appendix), describe how the research faculty will be appointed and advance in the titles listed in the Faculty Handbook. If the unit has no Research Faculty, insert the words "Not Applicable".

> Background: Because research faculty are not eligible for tenure, they are not reviewed using the university review procedures for tenurable faculty.

Article III. Annual Review Process

Instructions: Describe the annual review process for tenurable and nontenurable faculty who are not subject to the Non Tenure Track (NTT) Collective Bargaining Agreement. Describe any materials to be submitted by the faculty member. Identify the administrator or committee responsible to conduct the annual review and the materials faculty should submit for the review process. This section should be consistent with the Annual Review section (See Appendix) of the Faculty Handbook and the Annual Review Form (See Appendix).

Background: An annual review assesses a faculty member's performance over the preceding calendar year, and is based upon the faculty member's letter of hire, assigned percentages of effort, annual assignments, annual productivity report, and evaluations of teaching.

Article IV.   Primary Review Committee and Administrator

Section 4.01 Primary Review Committee-Composition and Appointment

Instructions: Describe the composition and appointment method for Primary Review Committee. The committee may be elected or appointed.

Background: The Faculty Handbook establishes the following requirements for the composition of the review committees:

Only tenured faculty members are eligible to serve on any review committees. Normally, at least one-half of the members will have attained the rank of professor. The unit may request approval from the University Promotion and Tenure Committee (UPTC) Chair to make an alternate tenured faculty appointment. Emeritus faculty members are ineligible to serve.

Before conducting a review, committee members will attend the orientation regarding retention, tenure, and promotion offered by the provost's office for the review cycle.

The university encourages diversity in the composition of all review committees. Units are encouraged to adopt selection procedures for committee members that will promote membership which is inclusive of the categories protected by the university Non-Discrimination Policy.

Committee members and administrative reviewers will take orientation sessions that promote bias-literacy in retention, tenure, and promotion reviews. Before conducting a review, they will attend the bias-literacy training offered by the university for the review cycle.

Committees will be available for service throughout the academic year. Faculty on leave will be ineligible for service. Committees will be constituted and their membership reported to the provost's office by the date established by the provost.

Section 4.02 Primary Review Administrator

Instructions: Identify by title the Primary Review Administrator (typically the department head).

Section 4.03 Identification of responsible entities

Instructions: Identify whether the primary review administrator or the primary review committee will be responsible for the following tasks by marking "X" in the appropriate box of the template.

(a) Establish the Primary Review Committee either by facilitating the election or appointment of the members as described.

(b) Select external reviewers and solicit review letters.

(c) If internal Reviews are part of the unit's review process, selecting and soliciting Internal Reviews.

(d) Assuring the following materials are included in the Dossier:

  (i) Internal and external reviewer letters of solicitation, letters from the reviewers and, in the case of external reviewers, a short bio-sketch of the reviewer should be included in the Dossier.

  (ii) Applicable Role and Scope Document.

  (iii) Letter of hire, any Percentages of Effort changes, all annual reviews, and all Evaluation Letters from prior retention, tenure, and promotion reviews at MSU.

  (iv) Candidate's teaching evaluations from the review period. If the evaluations are not in electronic format, the unit will provide evaluation summaries. Upon request by review committees and review administrators, the unit will provide access to the original evaluations to review committees and administrators during the review.

(e) Maintaining copies of all review committee Evaluation Letters and internal (if applicable), and external review letters after the review.

> Background: Section 4.03 lists tasks that must be completed during the review. The specific procedures for accomplishing the tasks are more fully described in subsequent sections of this Document and the Faculty Handbook. This section is limited to identification of the entity responsible for the task.
>
> Since there is variation in how units assign such responsibilities, units should identify whether the administrator or the committee will be responsible for these tasks to assure there is no lapse in completing these requirements. The entity assigned may ask for assistance from approved administrative employees in completing the task.

Section 4.04 Next Review Level

Instructions: Describe the entity conducting the next level of review. (e.g., College of Letters and Sciences review committee).

> Background: The response in this section refers to the next level of review after the primary unit committee and primary administrator (e.g., College or UPTC). Because some units do not include intermediate academic units, the Primary Academic Unit Role and Scope Document should identify the next level of review.

Article V.   Intermediate Review Committee and Administrator

Section 5.01 Intermediate Review Committee - Composition and Appointment

Instruction: Describe the composition and appointment method for the intermediate review committee (the intermediate review committee must include 25% female representation).

Note the requirements for the composition of all review committee members is set forth in Section 4.01 above.

Section 5.02 Intermediate Review Administrator

Instructions: Identify, by title, the Intermediate Review Administrator. (e.g., Dean of the College of Letters and Sciences).

Section 5.03 Level of Review following Intermediate Review Administrator

Instructions: The next level of review after the Intermediate Review Administrator is the UTPC..

Article VI. Review Materials

Section 6.01 Materials submitted by Candidate

Instructions: Describe the materials that must be submitted by the candidate for the assessment of teaching, scholarship, service and integration.

Background:

Materials for external review must include:

i. A comprehensive Curriculum Vitae (CV) with teaching, scholarship, and service activities of the candidate.
ii. A brief statement that identifies the candidate's area of Scholarship.
iii. Selected articles, publications, creative endeavors, or other evidence from the review period that, in the candidate's judgment, best represents their Scholarship.

Materials for Dossier must include:

1. The "Cover Sheet", obtained from the Provost's office.
2. A comprehensive CV with Teaching, Scholarship, and Service activities of the candidate.
3. A Personal Statement that includes a description of the candidate's area of Scholarship.
4. Separate self-evaluations for teaching, scholarship, service, and integration summarizing the evidence demonstrating that the candidate meets the standards for the attainment of retention, tenure, or promotion, as applicable. Each self-evaluation shall include a summary of activities, selected products or accomplishments, and evidence of recognition itemized by year over the relevant Review Period**.**

Section 6.02 Documentations of Collaborative Scholarly Contributions

Instructions: Describe how candidates will, in the Dossier, document their contribution to works done in collaboration with others. This section will address the discipline-specific way individuals contribute to collaborations in scholarly projects and products.

Background: Candidates are expected to establish independent lines of scholarship. For that reason, the autonomous role played by the candidate in collaborative publications, creative works and grant proposals should be described. In this section, the unit will address how the candidate should delineate their contribution to collaborative works.

It may be an expectation that the candidate publishes or performs as the primary creator/author of the work and that collaborations with the candidate's graduate students and post-doctorates as co-authors would be of greater impact than collaboration with the candidate's graduate or postdoctoral supervisor. The same guidelines regarding contribution may be appropriate for sponsored research proposals and awards. Delineation should be made for contributions to collaborative artistic or creative works, such as interdisciplinary or collaborative artistic practice or projects, collaborative/group exhibitions, ensemble live performances, etc.

Example for documenting contributions in a scientific publication:
"Jane Doe, John Black and Judy White designed the studies. Jane Doe conducted the experiments. Jane Doe, John Black and Jill Brown, a graduate student of Jane Doe, analyzed the data. All authors participated equally in writing the manuscript."

Section 6.03 Peer Review Solicitation Procedure

Instructions: For tenure and promotion reviews, describe the procedures used to solicit and obtain external peer reviews and, if applicable, internal letters of support/evaluation.

Background: External review letters must include a review of the candidate's scholarship but each unit may expand the external review to include other performance indicators. External reviews from at least four (4) respected authorities appropriate to the candidate's area of Scholarship who will provide an independent and objective evaluation of the candidate's Scholarship are required. The soliciting entity (administrator or committee) may invite recommendations from the candidate, but at least one half of the external reviewers should be persons other than the reviewers recommended by the candidate. Although units need not solicit recommendations from the candidate, if the unit will incorporate solicitation as a part of the process, the unit should identify how it will ensure that the candidate's recommendations will not exceed one-half of the external reviewers.

Article VII.   Applicable Role and Scope Documents

Sections 7.01 – 7.03 are prescribed by policy and will be the same across all units. For this reason, these sections are included within the template and units need not add to the Article.

Section 7.01 Retention Review – Candidates for retention are reviewed under the standards and indicators in the Role and Scope Documents in effect on the first day of employment in a tenurable position.

Section 7.02 Tenure and Promotion to Associate Professor Review – Candidates for tenure are reviewed under the standards and indicators in the Role and Scope Documents in effect on the first day of employment in a tenurable position. Candidates may select a more recent, approved Role and Scope Document by notifying the primary review committee

Section 7.03 Promotion to Professor Review – The faculty member will be reviewed using standards and indicators in the Role and Scope Documents in effect two (2) years prior to the deadline for notification of intent to apply for promotion.

Article VIII.   Retention Reviews

Sections 8.01 and 8.02 are prescribed by policy and will be the same across all units. For this reason, these sections are included within the template and units need not add to the section.

Section 8.01 Timing of Retention Review. Faculty are reviewed for retention in the academic year specified in their Letter of Hire, unless extended under the Extending Tenure Review Period policy.

Section 8.02 University Standards. The standards for the retention of probationary faculty members are:
  (a) effectiveness in teaching, scholarship, and service during the review period, and
  (b) integration of no less than two of the following during the review period: teaching, scholarship, and service, and
  (c) satisfactory progress towards meeting the standards for tenure by the candidate's tenure review year.

Section 8.03 Performance Indicators and Weighting
Instructions: Describe the "performance indicators for each standard and "appropriate weighting of the indicators that demonstrate effectiveness, accomplishment, and excellence."

Background: Under the definitions in the Faculty Handbook, Performance Indicators are the categories of products and activities used to evaluate performance of the faculty undergoing review.

Examples of performance indicators that may support the attainment of standards in **Teaching:**
Results of periodic and systematic peer evaluation based on class visitations; the review of course materials including syllabi and examinations; the results of the candidate's teaching in courses prerequisite to those of other members of the unit; and the results of periodic and systematic student evaluation, appropriately documented and explained; supervision of research, theses, and dissertations; teaching awards; evidence of student success through a sequence of courses; papers co-authored with students and projects with student collaborators; review of student portfolios, and implementation of teaching techniques informed by pedagogical scholarship.

Examples of performance indicators that may support the attainment of standards in **Scholarship:**
Publications in peer reviewed journals; juried exhibitions, published monographs; artistic performances; awards related to pedagogical advancements; development of intellectual property; awards pf extramural funding; creation of impactful knowledge that serves local, national or international audiences.

Examples of performance indicators that may support the attainment of standards in **Service:**
Participation in the governance of the University at the departmental, college, or university levels; contributing to departmental projects and programs; mentoring faculty colleagues; delivery of knowledge and scholarship to constituent groups and the public, serving in leadership roles in professional organizations; serving as journal editor or referee of scholarly papers or proposals; and applying professional expertise in public service activities.

Examples of performance indicators that may support the attainment of standards in **Integration:**
Presenting a physic demonstration in an elementary school (Scholarship/Service); research career advising to a student (Scholarship/Teaching); volunteering at an arts festival demonstrating painting (Service/Scholarship);

Some indicators may be given more weight, for example a prestigious national award may be given more weight than an award from the university.

Teaching, Scholarship, Service and Integration definitions are included as Appendix A.
The definitions of Effectiveness, Accomplishment and Excellence are included in Appendix A

Section 8.04 Quantitative and Qualitative Expectations

Instructors: Describe the quantitative and qualitative expectations for each standard. The quantitative expectations should be subject to adjustments as necessary for varying percentages of effort of the candidate.

Background: Quantitative expectation should be defined as some amount of productivity that is consistent with normative expectations of the specific discipline should take into account the quality and percent effort assigned to the candidate in the area of the standard. The quantity or amount of scholarship, teaching and service should be considered beyond the mere number of works or occurrences.

Examples of **qualitative** expectations may include reputation of the performance venue or publication outlet. Considerations of the influence, impact and creativity would be factors that may be important to judge the quality of the work. Discussions of acceptable venues for publication and performance, consideration of acceptable on-line venues and publication sites, and impact factor of the publication or event may be important in identifying the qualitative expectations.

Examples of **quantitative** expectations might include a number or amount of high quality publications, juried art shows, or external funding. For teaching, a value or rating based on both student assessment and peer evaluation tools. Quantitative expectations for service could include a number of committee membership at different levels of the institution (unit, college, university). Each of these quantitative measures should consider the qualitative aspect of the activity or product.

Section 8.05 Evidence of Performance Indicators

Instructions: Describe the evidence that will support the performance indicators.

> Background: This section will describe the evidence provided by candidates to support their attainment of the standards. The evidence that would be acceptable will depend on the performance indicators of the unit. Examples of evidence would be the candidate's publications, grants awarded to, positions held in professional organizations, etc.

Section 8.06 Status of Scholarly Products

Instructions: Describe the requirements regarding publication status or other acceptable exhibitions of scholarly products such as creative works.

> Background: Because candidates for retention will be reviewed early in their career, the unit may adopt standards for publication status that would include works submitted but not yet accepted or other preliminary steps toward publication or exhibition. In cases of tenure and promotion, units may not consider works or products that have been submitted, but not accepted at that the start of the review process (see Section 9.05).

Article IX. Tenure Review

Section 9.01 Timing of Tenure Review

> Section 9.01 is prescribed by policy and will be the same across all units. For this reason, Section 9.01 is included within the template and units need not add to the section.

Faculty are reviewed for tenure in the academic year specified in their Letter of Hire, unless extended under the Extending Tenure Review Period policy.

Section 9.02 University Standards

> Section 9.02 is prescribed by policy and will be the same across all units. For this reason, Section 9.02 is included within the template and units need not add to the Section.

The University standards for the award of tenure are:
  (a) sustained effectiveness in teaching and service during the review period, and
  (b) integration of no less than two of the following during the review period: teaching, scholarship, and service, and
  (c) accomplishment in scholarship.

Section 9.03 Performance Indicators and Weighting

Instructions: Describe the performance indicators and appropriate weighting of indicators for each standard.

Section 9.04 Quantitative and Qualitative Expectations

Instructions: Describe the quantitative and qualitative expectations for each standard. The quantitative expectations should be subject to adjustments as necessary for varying percentages of effort of the candidates.

Section 9.05 Evidence of Performance Indicators

Instructions: Describe the evidence that will support the performance indicators.

Background: See Section 8.05. Only scholarly products that have been accepted for publication, performance, or exhibition within the Review Period may be considered. Scholarly products that have been accepted for publication but not yet published, or published in a journal not readily available through university databases must be included among the candidate's materials. The means that creative scholarly products such as works of art or films are made available must be specified.

Article X.   Promotion to Rank of Associate Professor
Section 10.01   University Standards

Section 10.01 is prescribed by policy and will be the same across all units. For this reason, Section 10.01 is included within the template and units need not add to the section.

The University standards for promotion to the rank of Associate Professor are the standards for the award of tenure. Appointment at the rank of Associate Professor or Professor does not demonstrate, in and of itself, that standards for tenure have been met.

Article XI. Promotion to Rank of Professor
Section 11.01   Timing of Review.

Normally, faculty are reviewed for promotion after the completion of five (5) years of service in the current rank, however, faculty may seek promotion earlier if they can establish that they "meet the same standards of effectiveness and accomplishment or excellence used in evaluating candidates after five (5) years in rank."

Section 11.01 is prescribed by policy and will be the same across all units. For this reason, Section 11.01 is included within the template and units need not add to the section.

Section 11.02   University Standards

The University standards for promotion to the rank of Professor are:

(a) sustained effectiveness in teaching and service during the review period, and

(b) sustained integration of no less than two of the following areas during the review period: teaching, scholarship, and service, and

(c) excellence in scholarship.

Section 11.03 Performance Indicators and Weighting

Instructions: Describe the performance indicators and appropriate weighting of indicators for each standard.

See Section 8.03.

Section 11.04 Quantitative and Qualitative Expectations

Instructions: Describe the quantitative and qualitative expectations for each standard. The quantitative expectations should be subject to adjustments as necessary for varying percentages of effort of the candidates.

See Section 8.04.

Section 11.05 Evidence of Performance Indicators

Instructions: Describe the evidence that will support the performance indicators.

Background: See Section 8.05 and 9.05.

Article XII.   Procedures for Update and Revision of the Unit Role and Scope Document

Instructions: Define the schedule and procedures for review and updating your Role and Scope Documents.

Background: Faculty members are entitled to propose changes to Role and Scope Documents of their academic unit.

Review committee members or administrators that identify a need for improvement, clarification, or other revision to an academic unit's Role and Scope Documents may submit the request for changes to the Chair of UPTC. The UPTC Chair will forward the recommendations to the unit. Submission to the UPTC Chair should occur after the review committee or administrator completes all reviews for the year.

Units will act on any proposed changes received from the UPTC Chair on an annual basis and will undertake a full review of their Document no less than every three years.

Article XIII.   Approval Process

Role and Scope Documents of the academic units must be approved, as detailed below, before taking effect. Effective dates for approving Documents will be established by the provost. Article XIII is prescribed by policy and will be the same across all units. For this reason, this Article is included within the template and units need not add to the Article.

Section 13.01 Primary Academic Unit Role and Scope Document

(a) tenurable faculty and administrator of the primary academic unit;
(b) promotion and tenure review committee and administrator of all associated intermediate units (usually colleges);
(c) (UPTC); and
(d) provost.

Section 13.02 Intermediate Academic Unit Role and Scope Document

(a) promotion and tenure review committee and administrator of the intermediate unit;
(b) (UPTC); and
(c) provost.

Section 13.03 University Role and Scope Document

(a) (UPTC);
(b) Faculty Senate;
(c) Deans' Council; and
(d) provost.

Background: The provost, working with the UPTC, will resolve any conflicts that arise during the approval of Role and Scope Documents of the academic units. Once approved by all required parties, the provost will establish the effective date for the revised documents. Current documents will remain in force until revised documents are effective.

Research faculty are nontenurable faculty whose assignment principally involves time and effort on research projects funded by grants and contracts, administered by the Office of Sponsored Research. Their primary responsibility is to contribute to the research mission of the university. Individuals appointed to the research appointments described in this section are not eligible for tenure

Teaching is the set of activities performed by faculty that fosters student learning, critical and ethical thinking, problem solving, and creativity. It requires the faculty member to have a command of the subject matter, to maintain currency in the discipline, and to create and maintain instructional environments that successfully promote learning. In addition to the instructional responsibilities in the Academic Responsibilities policy, teaching includes incorporation of current pedagogical innovations, incorporation of new technologies and approaches to learning and assessment, course and curriculum design and development; thesis and professional project assistance, mentoring, and participation in student projects, theses, and dissertations; academic and career advising of undergraduate and graduate students; supervision of student teachers, graduate teaching and research assistants, student interns; and any valuable contributions to the university's instructional enterprise.

Scholarship is the original intellectual work of faculty that includes:

- The discovery, application, and/or assimilation of new knowledge and the dissemination of that knowledge. This work includes conducting research projects; securing and administering grants and contracts; writing/editing books, articles, and other research-based materials representing one's original or collaborative research; developing new clinical practice models; presentations at scholarly conferences.

- The generation of new knowledge in pedagogy and the dissemination and putting into practice of that knowledge. This work includes creation, development, implementation, study, and publishing of pedagogical innovations (including textbooks, peer reviewed articles and publications); documented studies of curricular and pedagogical issues; and pedagogically oriented research; innovation in community engagement.

- The generation of new creative products and experiences through composition, design, production, direction, performance, exhibition, synthesis, or discovery and the presentation of that experience. This work includes creating and presenting new works of art, film, theater, music, and architecture; public performance and exhibiting creative works.

- The creation of partnerships, programs, and plans through Extension, or other community-based research, that leverage the knowledge and resources of the university and the public/private sector to enhance learning, discovery, and engagement; educate and engage citizens; strengthen communities; address locally identified issues and problems; apply and disseminate knowledge; and contribute to the public good.

Integration is the creation of synergistic relationships among the teaching, scholarship, and service contributions of faculty, such as bringing new discoveries into the classroom, fostering student learning in the lab, field, and studio, engaging the wider community with scholarly products or innovations in teaching, or the fostering engagement to address community needs.

Accomplishment is sustained and commendable performance reflected in the quantity, quality, and impact of scholarly activities and products. These activities and products include peer reviewed publications, formal peer-reviewed presentations, or comparable peer-evaluated works appropriate to the discipline. The activities and products must have impact and significance to the public, peers, or the discipline beyond the university.

Excellence is sustained, commendable, and distinguished performance reflected in the quantity, quality, and impact of scholarly activities and products. These activities and products include peer reviewed publications, formal peer-reviewed presentations, or comparable peer-evaluated works appropriate to the discipline. The activities and products must have a notable impact and significance to the public, peers, or the discipline beyond the university.