

**University of New Mexico
Department of Speech and Hearing Sciences**

**Criteria
for
Annual Performance Reviews
and
Tenure and Promotion**

**Revised and Approved
November, 2012**

Annual Performance Reviews

Annual reviews of all SHS faculty, both probationary and tenured, will be conducted in the department each Spring. Faculty members must meet the department's minimum standards of performance and set forth performance goals for the coming year. The annual review period runs from April 1 to March 31.

- I. Each faculty member will submit the following information electronically by April 1 of each year, covering the preceding Summer and Fall terms and the current Spring term:
 - A. Current CV
 - B. Any peer evaluations of teaching obtained during the preceding year
 - C. Any other evidence concerning teaching effectiveness (syllabi and IDEA reports are already available to the Chair)
 - D. A copy of your annual goals for the previous year, and a progress report on each of them (1 page)
 - E. Brief summary of accomplishments in research, teaching, clinical work, and service in the preceding year, as much as possible tied to the "Criteria for Pre-Tenure Annual Performance Reviews below (1-2 pages)

- II. The Chair may request copies of publications and submissions, grant proposals, and/or other evidence of scholarly work completed during the past year, based on the summary just described.

- III. The Department Chair will examine all materials and prepare a review.
 - A. The Chair will then discuss the review with the faculty member. Following the discussion the chair may revise the review.
 - B. The faculty member will acknowledge the review by signing a copy and returning it to the Chair, and may, if desired, provide a written response to the report. This process will be concluded by the end of May.

- IV. In those years in which funding for raises is available, the report will serve as a basis for the “merit” component of the raise.
- A. Tenured faculty will be awarded one point for achieving all of the minimum standards in each of the four areas specified in the SHS “Criteria for Post-Tenure Annual Performance Review” below.
 - B. In order to meet the minimum standards, faculty must also achieve at least one indicator of excellence (see below) per year.
 - C. If not all of these standards have been met, no point will be awarded; fractions of points will not be awarded. Additional points will be awarded for achievement of indicators of excellence beyond the one-per-year minimum. For purposes of determining a final score of merit, these points will be averaged over either the previous three years, or the number of years since the last merit increase, whichever is greater.

Criteria for Pre-Tenure Annual Performance Reviews

I. MINIMUM STANDARDS OF PERFORMANCE FOR PROBATIONARY FACULTY

A. Teaching

University minimum standards are described in the Faculty Handbook, section 1.2.1b. In addition to those standards, we expect that faculty will:

1. Fulfill a reasonable teaching load. Faculty must be prepared to accept a variety of teaching assignments in their general field (not just in their specialty area). While many factors enter into the determination of a “reasonable” load for an individual faculty member, the general standard is two courses each semester.
2. Honor the department’s curricular decisions concerning general content of the courses they teach.
3. Document, on an annual basis, ways in which they have attempted to improve course content, teaching methods, and/or other aspects of his/her teaching process.
4. For every course taught each semester, submit results of outcome assessment following department guidelines, a syllabus within the first two weeks of the semester (1 week in summer), and IDEA data.
5. Arrange for a peer evaluation of each course at least once every two years. Normally this can be scheduled as a peer evaluation of one course every semester. A peer is considered to be a UNM faculty member equal or higher in rank with professional knowledge of the content area of the course to be evaluated.

6. Teaching performance must be within an acceptable range relative to department standards. Performance indicators include (but are not limited to) IDEA data, peer evaluations, student input, and the instructor's documentation.

B. Scholarship

1. Faculty members are expected to have a recognized specialty area within their academic field and have a working knowledge of current research and theoretical issues in that area.
2. That specialty expertise should be disseminated in at least one of the following ways in every academic year:
 - a. Conduct a seminar, lead a student group research project, advise a student through completion of a thesis, or complete a similarly focused teaching/research project in the specialty area.
 - b. Submit a manuscript for publication or a grant proposal to a funding agency.
 - c. Present research results at a regional, national, or international conference.

C. Service

1. The service load will vary depending on the needs of the department. Currently, the minimum service expectation for tenured faculty includes one major assignment (such as chairing a committee that requires significant planning and activity) and two less time-consuming assignments. For non-tenured faculty, service assignments will be gauged to allow full participation in the workings of the department without excessive commitments that would detract from teaching and research responsibilities.
2. By accepting a service assignment, the faculty member accepts the responsibility to determine the duties of the position and carry them out in a timely and competent manner.
3. Prompt responses to requests for information or action from others in the department are required so all the administrative tasks of the department can move forward smoothly.

D. Personal Characteristics

Evaluation of personal characteristics is a basic component of the pre-tenure review process. It is difficult to apply absolute standards for this category, however during the pre-tenure period faculty must show evidence that they are:

1. Ethical: conforming to community and professional standards.
2. Collegial: enabling the individual to work effectively with others in the performance of service duties and in research and teaching endeavors when professional interaction is required.
3. Tolerant: displaying adequate compassion and understanding when dealing with students, colleagues, and staff.

II. CONCENTRATION AREAS FOR PROBATIONARY FACULTY

Indicators of excellence are listed for each concentration area. To meet minimum standards, faculty are expected to meet at least one indicator in at least one area every year, or an average of one per year in a 3-year rolling average. These indicators must be accomplished in addition to the minimum standards in teaching, research, and service. Indicators beyond the 1-per-year average contribute to merit considerations for that year (see SHS policy for raise calculations). Achievements not mentioned below can be submitted for evaluation but should be discussed with the chair as early as possible so effort is not misdirected.

A. Teaching

1. Publication of teaching material or text, or wide dissemination in the case of non-publishable materials, e.g., a web course accepted as a regular distance education offering.
2. Receipt of a recognized teaching award. (weight .5)
3. Receipt, as P.I. or Co-P.I., of a personnel preparation training grant or similar funding for teaching (including intramural instructional grants such as TAC). (weight .5 for intramural)
4. Publication of a peer-reviewed manuscript concerning the scholarship teaching and learning, such as the results of a teaching research project or exploration of a teaching technique.
5. Exceptional professional development in teaching, such as the implementation of an innovative teaching technique requiring extensive new learning on the part of the faculty member and major revamping or creation of course materials. The normal updating of course materials and professional development activities that are expected under minimum standard I.A.4 cannot be used to fulfill this indicator. (weight .5)
6. Development and presentation of a course that is new to the department and is a significant contribution to the curriculum. (weight .5)
7. Presentation of teaching research or methods as an invited speaker for a national or international conference. (weight .5)

B. Research

1. Publication of a research or review article in a peer-reviewed journal.

2. Receipt of funding for a research project (including small intramural grants such as RAC). (weight .5 for intramural)
3. Presentation of research as an invited speaker for a national or international conference. (weight .5)

III. CRITERIA FOR TENURE AND PROMOTION TO ASSOCIATE PROFESSOR

Adherence to the minimum standards, above, provides a foundation for the accomplishments required for tenure. During the pre-tenure probationary period, faculty must also meet the challenge of developing strong teaching skills and an independent, productive line of research.

A. Research

While scholarship may take a variety of forms across the career of a faculty member, the task during the probationary period is to master an area and techniques(s) of inquiry in one's field and develop a program of research that adds to knowledge in that area. The minimum standards for scholarship (above) outline adequate performance for any given year, but over the course of the probationary period the following results must also be achieved:

1. Completion of a series of theory-driven research studies clearly applied to a single area of inquiry ("programmatic research").
2. Evidence of primary responsibility for the majority of that series. This evidence is usually determined by first or sole authorship of the resulting manuscripts.
3. Publication of a series of manuscripts resulting from these research studies (or of a book that contains the equivalent information) in respected, peer-reviewed journals or, in the case of a book, publication by a respected academic press following a peer-review process.
4. Evidence of independent ability to conduct research. While collaborative research, including work with doctoral or post-doctoral advisors, is not discouraged, by the end of the probationary period it must be apparent that the individual being evaluated is capable of directing research projects without the help of a mentor.

The answer to the inevitable question of "how many is a series?" depends on many factors, including the type of research undertaken, the quality of the work, the nature and quantity of other research contributions (presentations, grant funding, directing theses, etc.), and the teaching and service contributions of the individual. By definition, a series is more than two.

B. Teaching

Junior faculty are not expected to arrive with polished teaching skills, but they are expected to improve their skills during the probationary period. Junior faculty must:

1. seek feedback about their teaching from students and from more experienced faculty
2. participate, when appropriate, in teaching effectiveness programs provided by the university
3. document the ways in which they develop and improve their courses.

Annual reviews during the probationary period will address the faculty member's teaching skills and provide concrete goals for improvement when improvement is needed. In order to achieve tenure, faculty must teach in an effective manner (primarily determined by IDEA data and/or by direct observation of teaching by senior faculty) and fulfill the university and departmental minimum standards.

Some junior faculty may wish to devote themselves primarily to teaching. We are proud of our teaching mission and are very supportive of faculty who choose to excel in this area but we are also proud of the research mission of the university and of this department. All faculty must demonstrate their ability to carry out programmatic research studies. These studies may focus on classroom issues but they must be conducted as research projects and be published as such, according to the guidelines in the previous section. In the absence of an adequate research program, classroom teaching and/or creation of teaching materials are not sufficient for tenure and promotion in this department.

Criteria for Post-Tenure Annual Performance Reviews

In each academic year, all tenured faculty must meet the department's criteria for excellence in at least one area and meet minimum standards in all other areas. Failure to do so will constitute deficient performance. Outstanding performance requires the achievement of multiple indicators in one or more concentration areas.

I. MINIMUM STANDARDS OF PERFORMANCE FOR TENURED FACULTY

A. Teaching

1. University minimum standards are described in the Faculty Handbook, section 1.2.1b. In addition to those standards, we expect that faculty will:
2. Fulfill a reasonable teaching load. Faculty must be prepared to accept a variety of teaching assignments in their general field, not just in their specialty area. While many factors enter into the determination of a "reasonable" load for an individual faculty member, the general standard for faculty members with an active, productive research program is two courses per semester.
3. Honor the department's curricular decisions concerning general content of the courses they teach.
4. Document, on an annual basis, ways in which they have attempted to improve course content, teaching methods, and/or other aspects of the teaching process.
5. For every course taught each semester, submit a syllabus within the first two weeks of the semester, and obtain and submit IDEA student surveys at the conclusion of the course.
6. Arrange for a peer evaluation of each course at least once every two years. A peer is considered to be a UNM faculty member equal or higher in rank with professional knowledge of the content area of the course to be evaluated.
7. Teaching performance must be within an acceptable range relative to department standards. Performance indicators include (but are not limited to) IDEA scores, peer evaluations, student input, and the instructor's documentation.

B. Scholarship

1. Faculty members are expected to have a recognized specialty area within their academic field and have a working knowledge of current research and theoretical issues in that area.
2. The specialty expertise should be disseminated in at least one of the following ways in every academic year:
 - a. Advise a student through completion of a thesis, or complete a similarly focused research project in the specialty area.
 - b. Submit a manuscript for publication or a grant proposal to a funding agency (including internal UNM funds)
 - c. Present research results at a regional, national, or international conference
 - d. Submit a minor invited publication (such as an encyclopedia article)

C. Service

1. Tenured faculty are expected to perform major service duties in the department. The service load will vary depending on the needs of the department. Currently, the minimum service expectation for tenured faculty includes one major assignment (such as chairing a committee that requires significant planning and activity) and two less time-consuming assignments.
2. By accepting a service assignment, the faculty member accepts the responsibility to determine the duties of the position and carry them out in a timely and competent manner.
3. Prompt responses to requests for information or action from others in the department are required so all the administrative tasks of the department can move forward smoothly.

D. Personal Characteristics

While annual reviews in the post-tenure period need not address this category, it must be included in reviews for promotion and may be included in annual reviews if deficiencies are noted that interfere with acceptable performance of duties. It is difficult to apply absolute standards for this category; however, we assume that individuals must be:

1. Ethical: conforming to community standards and professional standards.

2. Collegial: enabling the individual to work effectively with others in the performance of service duties and in research and teaching endeavors when professional interaction is required.
3. Tolerant: displaying adequate compassion and understanding when dealing with students, colleagues, and staff.

II. CONCENTRATION AREAS FOR EXCELLENCE FOR TENURED FACULTY

Indicators of excellence are listed for each concentration area. To meet minimum standards, faculty are expected to meet at least one indicator in at least one area every year. These indicators must be accomplished in addition to the minimum standards in teaching, research, and service. Indicators beyond the 1-per-year average contribute to merit considerations for that year (see SHS policy for raise calculations). Achievements not mentioned below can be submitted for evaluation but should be discussed with the Chair as early as possible so effort is not misdirected.

A. Teaching

1. Publication (or significant progress in the case of large projects) of teaching material, techniques, or textbooks, or wide dissemination in the case of non-publishable materials, e.g. a web course accepted as a regular distance education offering.
2. Receipt of a recognized teaching award at the college, university, or external level.
3. Receipt, as P.I. or Co-P.I., of a training grant or similar funding for teaching (this does not include small intramural instructional grants such as TAC)
4. Exceptional professional development in teaching, such as the implementation of an innovative teaching technique requiring extensive new learning on the part of the faculty member and major revamping or creation of course materials. (The normal updating of course materials and professional development activities that are expected under minimum standard I.A.4 cannot be used to fulfill this indicator.)
5. Development and presentation of a new course for the faculty member; this includes developing an online version of an existing course.
6. Extraordinary and extended clinical teaching in the department's clinic
7. Presentation of teaching research or methods as an invited speaker for a national or international conference

B. Research

1. Publication of a research or review article in a peer-reviewed journal (formal acceptance by the editor shall constitute publication)

2. Receipt of funding for a research project (this does not include small intramural grants such as RAC)
3. Presentation of research as an invited speaker for a national or international conference
4. Publication of a scholarly edited volume or monograph by a reputable, scholarly publisher
5. Publication of an invited book chapter related to the author's previous research publications by a reputable, scholarly press.
6. Publication of clinical materials (e.g., tests, intervention programs) that are the product of the author's peer-reviewed, published research (e.g. a test and manual developed as part of a research program)

C. Clinical Work

1. Provision of exemplary clinical care of such nature as to serve as an excellent model for the profession
2. Introduction of innovative advances to clinical practice which reflect the faculty member's status as being on the 'cutting edge' of clinical management
3. Presentation of clinical methodology as an invited speaker for a national and/or international conference
4. Publication of clinical materials that are a product of the author's published research and translate the findings to clinical practice
5. Publication of a book chapter, tutorial article, or webinar that features the faculty member's clinical methodology

D. Service

1. Academic service, i.e., with title, at the department, college, or university levels when not accompanied by a course reduction.
2. Substantial involvement in university governance bodies, when not accompanied by a course reduction.
3. Major professional service requiring on-going commitment of time and effort, such as editor or associate editor of a journal, serving as vice president or president of ASHA or a similar national professional organization, or chairing a national convention.

IV. CRITERIA FOR PROMOTION TO PROFESSOR

Section 4.8.3 of the Faculty Handbook, “Promotion to Professor” states,

“Qualifications for promotion to the rank of professor included attainment of high standards in teaching, scholarly work, and service to the University or profession. Promotion indicates that the faculty member is of comparable stature with others in his or her field at the same rank in comparable universities. Service in a given rank for any number of years is not in itself a sufficient reason for promotion to professor. The anticipated length of service in the rank of associate professor prior to consideration for promotion to the rank of professor is at least five years.”

The rank of professor should be reserved for those who have demonstrated their continuous intellectual development and leadership. Promotion to full professor should be bestowed upon those who have an academic record documenting high-quality performance level in one of the following four required components of scholarly productivity – research, teaching, clinical work, and service—and meets expectations in the other areas.

The Department of Speech and Hearing Sciences Committee on Tenure and Promotion considers all of the following guidelines. In addition, the Committee is aware that faculty members’ contributions will vary. Thus, in our deliberations on promotion, we reflect on the benefits to the Speech and Hearing Sciences Department, College of Arts and Sciences, and University of New Mexico of a range of attributes and accomplishments.

Candidates for promotion to full professor must:

- a. demonstrate a significant impact beyond the University of New Mexico in at least one of the following areas—scholarship, clinical, teaching, and service--and meet expectations in the other areas; **or**
- b. demonstrate a balanced profile that incorporates significant contributions in 3 of the 4 following areas.

Elements of each area – scholarship, clinical work, teaching, and service – are described below.

A. *Nationally recognized scholar/researcher* as evidenced by:

1. Peer-reviewed articles
2. Invited research-based book chapters and monographs
3. Receipt of major national grants
4. Translational work that impacts clinical practice (e.g., tests, treatment programs)
5. Service as journal editors or associate editors of national journals

6. Members of national grant review panels
7. Consultants on major grant proposals
8. Substantial citations to their published research
9. Other kinds of evidence include book reviews, peer-reviewed conference presentations and involvement in media projects requiring scholarly input

B. *Highly effective instructor* as evidenced by:

1. Peer-reviewed articles on the scholarship of teaching and learning
2. Publication of research-based clinical materials
3. Teaching awards external to the Department of Speech and Hearing Sciences
4. Excellent teaching evaluations (student and peer evaluations)
5. Publication of textbooks, clinic materials, and media projects
6. Invited presentations on the scholarship of teaching and learning
7. Receipt of major personnel preparation training grant
8. Institutionalization and dissemination of innovative teaching/mentoring program

C. *Recognized master clinician* as demonstrated by contributions in **all** of the following:

1. Cohesive body of evidence-based clinical work
2. Invited national and/or international presentations
3. Widespread impact on clinical practice
4. Clinical publications (e.g., book chapters, tutorial article, webinars, etc.)

D. *Significant service* as demonstrated by exemplary contributions in **all** of the following:

1. Academic service at the departmental or college-level
2. Extensive university service and governance
3. Major professional service (e.g., Vice President or President of key national organization; Editor/Associate Editor of a Tier A journal)

Timetable: A minimum of five years at the associate professor level is required before consideration for promotion to full professor.