

**Department of Statistics  
Policy Statement  
2010-2011**

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It is the right, the responsibility, and the privilege of University faculties to participate in the governance of their departments. Fundamentally, what is desirable and intended by the Department Policy Statement is to ensure meaningful participation by department faculties and procedural regularity within departments. It is understood that the ultimate power of decision-making resides with the administration. This Policy Statement is one means by which the faculty of this department make recommendations to Western.

### **Definitions**

(Taken from the 9/6/2008 – 9/6/2011 AAUP Agreement pages 3&4)

**Faculty** – means all persons appointed to University positions classified as ranked faculty, adjunct faculty, visiting professors, and part-time instructors.

**Faculty Specialists** – means persons appointed as one of five categories of specialized faculty: (1) lecturer; (2) clinical specialists; (3) professional specialist; (4) aviation specialists; and (5) language specialist.

**Faculty, traditionally-ranked** – means faculty ranked as instructor, assistant professor, associate professor or professor.

**Ranked faculty** – means all persons employed by Western Michigan University who hold Board appointments in any of the following categories: professor, associate professor, assistant professor, instructor, master faculty specialists, faculty specialists II or faculty specialists I.

**Tenure-track appointments** – means a ranked faculty appointment by the Board of Trustees, that is probationary in nature, and that makes the holder eligible for consideration for tenure in accordance with the terms and provisions of this Agreement.

**Unit faculty** – means those persons who are faculty members included in the bargaining unit as defined in Article 1, Recognition of Chapter.

## 1. RECOMMENDATION FOR APPOINTMENT OF THE DEPARTMENT CHAIR

### A. Procedure for Recommending Appointment of a Chair

#### 1. Chair Search Committee

When it becomes apparent that the position of Chair will become vacant, the following procedures should be followed.

A Chair Search Committee shall be chosen by the ranked faculty consisting of three faculty members. A candidate for Chair cannot serve on the Chair Search Committee.

## 2. Duties of the Chair Search Committee

The Chair Search Committee elects its own chair and sets its own procedures under the following guidelines:

- a. Contact the Dean to see if funds are available to consider candidates from outside the University, and regarding other requirements for the search.
- b. Solicit eligible applicants from within the Department, and if funds are available, seek applicants from outside the University.
- c. Provide information concerning applicants.
- d. Solicit opinions from the Department faculty by holding open hearings to discuss the relative strengths and weaknesses of the applicants.
- e. Conduct interviews of the applicants, if appropriate. If an applicant is from outside the University, a vote approving of the visit shall be obtained from the ranked faculty before asking the Dean to approve extending an invitation to visit.
- f. Make recommendations to the ranked faculty, with supporting statements, as to their choice of the two or more best qualified applicants.
- g. Submit to the Dean a ranked list containing at least two candidates, selected by the ranked faculty from the list compiled by the Search Committee. To be included on the list submitted to the Dean, a candidate must have received the support of a majority of the ranked faculty.

### B. Procedure for Recommending a Chair with a Specified Term

1. Recommendations of candidates for Chair with a specified term may be made in the event that the current Chair receives temporary relief of duties (e.g., illness, sabbatical leave) or in the event that the position should be vacant and the Department may be conducting or preparing to conduct a search for a new Chair. The term of this office will normally not exceed one year.
2. The candidates to be recommended to the Dean for the position of Chair with a specified term shall generally be selected from the traditionally-ranked faculty in the Department and with the rank of associate or full professor. Exceptions to this can be recommended by a vote of the Department.
3. The selection procedure shall follow the general framework given in Paragraph A of this Section.

## 2. EVALUATION OF THE DEPARTMENT CHAIR

The faculty recommends an initial evaluation of a new Chair in January of the second academic year of the appointment, with subsequent evaluations scheduled to coordinate with evaluations by the Dean of Arts and Sciences, with no more than three years between evaluations.

When an evaluation is to be carried out the ranked faculty members of the Department shall vote to form a Department Chair Evaluation Committee consisting of three faculty members of the Department.

The Department Chair Evaluation Committee shall coordinate with the Dean and:

- (i) solicit evaluations of the Chair from the Department faculty using an evaluation form agreed upon by the Department faculty. The faculty may submit other information and opinions.
- (ii) hold a meeting of the Department faculty to discuss the evaluation of the Chair and vote on any recommendations.
- (iii) prepare a written report for the evaluation of the Chair. The report needs the approval of a majority of the ranked faculty. Copies of the report shall be made available to the Chair, the Dean of Arts and Sciences and the faculty members.

A majority of the ranked faculty members may call for an interim evaluation of the Chair at any time. Within a week of this action a meeting of Department faculty members shall be called to determine whether an evaluation of the Chair should be implemented and culminate with a vote of whether the current Chair should be continued. The vote to implement the interim evaluation of the Chair will be conducted by secret ballot of all Department faculty members, not on leave of absence, on the first working day after the meeting. A two-thirds vote of the Department faculty will be required to implement an interim evaluation of the Chair.

The procedure for an interim evaluation of the Chair shall follow the same steps as outlined above with the addition of a vote on the continuance of the Chair. The vote shall be by secret ballot and shall contain the following two choices:

1. The recommendation to the Dean shall be that the Chair be continued.
2. The recommendation to the Dean shall be that the Chair not be continued.

The results of this vote shall be made known to the Department, the Chair and the Dean of Arts and Sciences.

### 3. ANNUAL REPORT OF THE DEPARTMENT CHAIR

It is recommended the Department Chair write an annual report to the Department by September 1, covering activities and issues from the previous academic year.

### 4. ANNUAL DEPARTMENT GOALS AND OBJECTIVES

Early in the Fall semester the Department should discuss its goals for the coming year at one of its regular meetings. After a plan has formed, tasks should be assigned with time lines to the Undergraduate, Graduate or ad hoc committees or to individuals as appropriate. The final goals and objectives for the year should be approved by a vote of the faculty. Progress reports and reviews of activity should take place in a timely fashion throughout the year.

## 5. GRADUATE COMMITTEE

The Graduate Committee (GC) will consist of three ranked faculty members from the Department who have a Ph.D. degree. The members will be appointed by the Chair, after consulting with the Department, for a one year term beginning with the Fall semester. The GC shall elect one of its members to serve as Chair.

The major responsibilities of the GC are:

- A. To draw up a plan of action to implement the Department Goals and Objectives relative to the graduate program for the coming year. This plan is presented to the department faculty early in the Fall term.
- B. To serve as advisors for students in the doctoral and masters programs.
- C. To propose graduate curriculum changes to the Department.
- D. To study the effectiveness of graduate courses in meeting the needs of various student constituencies and, based on their assessment, to make recommendations for improvements. With respect to this activity, it is recommended that an effort be made to keep up-to-date with the experiences of students from outside the Department who take our courses and plan for their needs.
- E. To maintain a useful database on information regarding graduate students in Department programs. This should be coordinated with the information available from University databases. Further, they should establish and maintain a useful database of information regarding each graduate course used by students from other departments. This would include information on semester, instructor, enrollments, majors of the students, grades and other information that may be useful for planning or evaluation purposes.
- F. To prepare and monitor information about our graduate courses and programs contained in the catalog or brochures.
- G. To recruit students and promote our courses to students and faculty in other departments.
- H. To manage details for the scholarly and teaching awards for graduate students.
- I. To monitor and evaluate the performance of all graduate students. This will include their academic performance and, for TAs, the quality of their work in performing their assigned duties.

Recommendations will be made for the reappointment of TAs and for the selection/continuation of DA awards. Meetings of all faculty should be held to discuss a report on this information. A first meeting will be held near the end of the Fall semester to provide preliminary information to

the Chair for any appointment decisions that need to be made during Fall or Spring semesters. A second meeting will be held after the Spring semester to discuss a report on the final evaluation and recommendation for the year on each graduate student. Following this, each graduate student will be sent a letter concerning his/her academic program evaluation and expectations for the coming year.

Decisions on continuing appointment should be sent to students prior to the deadline specified in the TAU agreement (presently March 31).

J. To recommend the appointments of new TA's, Doctoral Associates, Graduate Fellows.

## 6. UNDERGRADUATE COMMITTEE

The Undergraduate Committee (UC) will consist of two ranked faculty members from the Department. The members will be appointed by the Chair, after consulting with the Department, for a one year term beginning with the Fall semester. The major responsibilities of the UC are:

- A. To draw up a plan of action to implement the Department Goals and Objectives relative to the undergraduate program for the coming year. This plan is presented to the department faculty early in the Fall term.
- B. To serve as advisors for undergraduate majors and minors.
- C. To propose undergraduate curriculum changes to the Department.
- D. To study the effectiveness of our undergraduate courses in meeting the needs of our various student constituencies and, based on those assessments, to make recommendations for improvements. With respect to this activity, it is recommended that an effort be made to keep up-to-date with ongoing changes in the high school mathematics and statistics curriculum and the background of incoming students.
- E. To maintain a useful database on information regarding undergraduate majors and minors. This should be coordinated with the information available from University databases. Further, they should establish and maintain a useful database of information regarding each course used by students from other departments. This would include information on semester, instructor, enrollments, majors of the students, grades and other information that may be useful for planning or evaluation purposes.
- F. To prepare and monitor information about our undergraduate courses and programs contained in the catalog or brochures.
- G. To recruit students and promote our courses to students and faculty in other departments.



H. To manage details for scholarships and awards for undergraduate students.

## 7. APPOINTMENT AND REAPPOINTMENT

It is recommended that each year the Department Chair should hold a Department meeting to discuss staffing needs for following years. This may be appropriate during the Spring semester for positions 1 ½ years in the future. A proposal based on needs with supporting rationale should be prepared and submitted to the Chair as the faculty recommendation. The Department Chair should prepare his/her recommendation and forward both to the Dean. The faculty proposal requires the approval of the majority of the ranked faculty.

During the year, the Chair shall keep the faculty informed on the status of positions and on the availability of candidates. The Chair shall make available to the faculty the vitae, letters of recommendation and other pertinent information about any candidate under serious consideration for an announced position vacancy and whenever feasible, shall arrange for an on-campus interview.

For each faculty search to be conducted for a continuing position, the ranked faculty shall elect a Search Committee. The Search Committee shall make a recommendation to the Chair on the hiring of a candidate. Prior to any recommendation, the Search Committee shall (1) make reasonable efforts to inform faculty about candidates' qualifications, (2) invite opinions on candidates' qualifications, and (3) promote open discussion and deliberation concerning hiring.

One-year renewable-term appointees and part-time faculty will be hired by the Chair in accordance with the needs of the Department and in accordance with the Agreement. The Chair will seek recommendations of Department faculty with regard to such appointments.

## 8. EVALUATION OF PROFESSIONAL COMPETENCE

- A. Student ratings shall be conducted in each class taught by a bargaining unit faculty member in at least one semester of each academic year (the semester to be chosen by the faculty member). For non-tenured faculty the department requires that student ratings be conducted for every class. It is recommended that student ratings of teaching performance be conducted (a) in every class taught by graduate assistants and part-time faculty, (b) at the request of the Department Tenure Committee or Promotion Committee, and (c) at the request of the Chair. Seminar courses, reading courses, internship courses and 700 level courses are exempt.
- B. The University approved student ratings form and procedure shall be used, per the Agreement, Article 16.4.
- C. The numerical summary of the responses on the forms for each class shall be given to the instructor. A copy of this numerical summary shall be placed in the appropriate department personnel file for the individual.
- D. An instructor who feels that there are errors, inaccuracies, or unfair biases in a numerical summary may submit an additional summary prepared by him/herself.

- E. Faculty members who wish their efforts in teaching classes to be reviewed by appropriate committees are encouraged to prepare course portfolios. These portfolios would contain detailed information about the course, such as syllabus, outlines of material, learning strategies and methods, exams, grades and other evidence of student activities and performance. Also see the Agreement on instructional portfolios (Article 16.§3.2).
- F. Classroom visitations shall be carried out as specified in the Agreement, Article 16.§3.3.

## 9. DEPARTMENT TENURE POLICY AND PROCEDURES

The following policy supplements the article on Tenure Policy and Procedures article of the Western/WMU-AAUP Agreement.

### A. The Department Tenure Committee (DTC)

The Department Tenure Committee (DTC) shall consist of the tenured department traditionally-ranked faculty members. Subcommittee S shall consist of the DTC plus any tenured faculty specialists in the Department.

### B. Early Tenure Review

Any ranked faculty member or faculty specialist who desires an early final tenure review must notify the department chair who shall modify the chair of the DTC no later than the date specified in the Agreement of the academic year prior to the year in which the desired review is to take place (see Article 17.3.4).

### C. Criteria for Tenure Evaluations for Traditionally-Ranked Faculty

In addition to the criteria given in the Agreement, the DTC shall consider the following as appropriately categorized into the areas of professional competence, recognition or service: performance of special duties outlined either at the time of appointment or subsequently; general willingness and helpfulness in the department; consistency of the person's expertise with department needs and goals; compatibility with his/her colleagues as it pertains to the performance of his/her department duties and/or the discharge of department responsibilities.

The evaluation shall include consideration of the following items (if available in a candidate's tenure file):

#### 1. Professional Competence

- a. Teaching: Record of courses taught, including enrollments, summaries of student evaluations, letters of commendation or criticism (in accordance with practice specified

in the Agreement).

- b. Directing student projects: PhD theses, seminars, independent study, Honors activities.
- c. Coordinating activities in the Statistical Computing Center.
- d. Curriculum and course development: Reports, syllabi, and class material.
- e. Self-education: Reports of activities.
- f. Consulting
- g. Other professional duties related to teaching.

## 2. Professional Recognition

- a. Research: Publications, letters of acceptance, pre-prints, research reports, letters of evaluation of research by colleagues and outside professionals, reviews and reports of research in progress.
- b. Research proposals and grants: Individual grants or grants in conjunction with others.
- c. Exposition: Publications and books, reviews, reports of activities in progress, reports and abstracts of presentations at colloquia, meetings, and conferences.
- d. Reports of internal and external consulting projects.
- e. Other: Editing and refereeing for journals, organizing and directing special conferences and editing the proceedings therefrom, and service on national, regional or State committees of professional organizations related to the statistical sciences.

## 3. Professional Service

- a. Department: Participation in committees, advising, attendance at department meetings, and other assigned duties.
- b. College and University: Participation in councils, committees, the Faculty Senate, and task forces; major efforts on behalf of the Chapter; and representation of the university at official academic and educational functions.
- c. Community: Contributions to the public or private sectors which relate to professional, academic, or scholarly enterprises.
- d. Consulting: Reports on statistical consulting for students, faculty and others at Western

and for others in the community.

With regard to Professional Service, it is expected that the candidate will have made satisfactory contributions with respect to Department service.

Professional competence and professional recognition are approximately of equal importance for tenure, and it is expected that the candidate will have given evidence of significant achievement in both competence and recognition. Competence and recognition should carry more weight than professional service for tenure decisions.

#### D. Criteria for Tenure Evaluations for Faculty Specialists

Faculty specialists on continuing appointments will have a letter of appointment, including any annual updates that will specify the duties and responsibilities of their position. Tenure decisions for faculty specialists will be based on criteria consistent with their letter of appointment in the areas of professional competence and professional service.

#### E. Department Tenure Committee Process

1. Early in every Fall Semester the Department will select one of the full professors in the department to serve as Chair of the DTC for a term of one year. The Chair of the DTC shall call and preside over all meetings of the DTC. A quorum for the DTC shall be two-thirds of the membership not on leave of absence, sick leave, or sabbatical leave. All issues shall be decided by a simple majority of those present and voting. (Absentee ballots are not considered.)
2. The chair of the DTC shall appoint a subcommittee of two DTC members for each tenure review that is to take place. The subcommittees shall prepare preliminary reports and recommendations on their candidates based on the contents of the tenure file. These reports and recommendations are submitted to the DTC for consideration at its meeting.
3. Early in the Fall term, each candidate for tenure should prepare a tenure file of material, by October 15, to be considered by the DTC. This file should be kept in the Department office for use by the DTC. It is recommended that the Chair assist the candidate in this effort. The Provost has a checklist for content of a tenure file. The candidate may add additional documents or written presentations to the tenure file before the submission date. For traditionally-ranked faculty in 6<sup>th</sup> year reviews, external reviews relating to professional recognition are required. Such letters shall be solicited in accordance with procedures specified in Article 17 of the Agreement.

Once final tenure is granted (typically at the end of a six year probationary period), only the final notification of the award is retained in the faculty record, with the other materials being returned to the faculty member (Article 11.3.3). While candidates may choose what

to include initially in their tenure files, other material, including material from the candidate's faculty record (Article 11.7.1.1), may be added to the tenure file before the deadline. There should be nothing added to the tenure file by the candidate after the deadline, except verification of pending accomplishments which are submitted to the dept chair, dean or provost office who then places it in the tenure file. External reviews of professional recognition may be called for only during a final tenure review (Article 17.5.5).

All information collected in a tenure file shall be available for review by members of the DTC at least one week prior to any meeting scheduled to consider recommendations for tenure.

4. In the case of a candidate for tenure who is not in the final probationary year, the DTC shall first vote to determine whether to recommend a positive or negative review. A second vote will be taken to determine if the review shall be with or without conditions. Thus, four recommendations are possible: positive, positive with conditions, negative with conditions and negative. A negative recommendation is interpreted as a recommendation for non-renewal. For a candidate in the 6<sup>th</sup> and final probationary year, only one vote will be taken to determine whether to recommend the granting or denial of tenure.
5. The Chair of the DTC shall provide written notification to each candidate of the DTC's recommendation. These notifications, including the report, must be sent by the date specified in the Agreement. After allowing time for any appeal, the report and recommendation shall be sent to the Department Chair, again by the date specified in the Agreement.
6. A tenure review for a faculty specialist shall be carried out by Subcommittee S following the process outlined above.

#### F. Appeals

The candidate may appeal the DTC's recommendation within the date specified by the timetable for tenure in the Agreement. The DTC Chair should be notified in writing of the fact and basis for the appeal.

Any candidate under review has the right to appeal any decision of the DTC. Thus, not only does a candidate have the appeal right when the recommendation is negative, but also if the recommendation is positive but the candidate objects to the wording in any letters to be sent forward. The appeal is to be considered by the Appeals Committee which is the subcommittee that was formed to prepare the initial recommendation to the DTC. The Appeals Committee can decide to deny the appeal or to forward it to the full DTC for consideration. If the DTC is reconvened and votes to abide by its original recommendation, the candidate shall have no further right of appeal to the DTC.

## 10. DEPARTMENT PROMOTION POLICY AND PROCEDURES

The following policy supplements the Promotion Policy and Procedures article of the Western/WMU-AAUP Agreement.

The Department Promotion Committee (DPC) is established in Paragraph E below.

### A. Qualifying Criteria

1. Educational Attainments for Traditionally-Ranked Faculty: In the Department of Statistics, to qualify for promotion to the rank of full, associate or assistant professor a candidate must have a doctoral degree.
2. Educational Attainments for Faculty Specialists: In the Department of Statistics, to qualify for promotion to the rank of faculty specialist II or master faculty specialist a candidate must have a master's degree.
3. Years of service in rank: see Agreement, Article 18.2.2.
4. Exceptions: Faculty desiring an early promotion review shall notify their department chair who in turn shall inform the DPC by the deadline set in the Agreement.

### B. Initiating the Promotion Process

By the date specified in the timetable for promotion in the Agreement the department Chair shall provide a list of eligible regular faculty to the DPC, and shall send a notice to every faculty member in the rank of faculty specialist I or II, instructor, assistant professor, or associate professor, reminding each faculty member of the following:

1. the department Qualifying Criteria for promotion;
2. an individual who does not meet the Qualifying Criteria may request in writing to the Department Chair that an exception be granted.

Every faculty member who is eligible for promotion and who submits, no later than October 15, a promotion file to the DPC becomes a candidate for promotion. Also, every faculty member who has been granted an exception and who submits, no later than October 15, a promotion file to the DPC, becomes a candidate for promotion. Every candidate shall be evaluated by the DPC.

### C. Evaluation for Traditionally-Ranked Faculty

The evaluation shall include consideration of the following items:

#### 1. Professional Competence

- a. Teaching: Record of courses taught, including enrollments, summaries of student evaluations, letters of commendation or criticism (in accordance with practice specified in the Agreement).
- b. Directing student projects: PhD theses, seminars, independent studies, Honors activities.
- c. Coordinating activities in the Statistical Computing Center.
- d. Curriculum and course development: Reports, syllabi, and class material.
- e. Self-education: Reports of activities.
- f. Consulting.
- g. Other professional duties related to teaching.

#### 2. Professional Recognition

- a. Research: Publications, letters of acceptance, pre-prints, research reports, letters of evaluation of research by colleagues and outside professionals, reviews and reports of research in progress.
- b. Research proposals and grants: individual grants or grants in conjunction with others.
- c. Exposition: Publications and books, reviews, reports of activities in progress, reports and abstracts of presentations at colloquia, meetings, and conferences.
- d. Reports of internal and external consulting projects.
- e. Other: Editing and refereeing for journals, organizing and directing special conferences and editing the proceedings therefrom, and service on national, regional or State committees of professional organizations related to the statistical sciences.

#### 3. Professional Service

- a. Department: Participation in committees, advising, attendance at department meetings,



and other assigned duties.

- b. College and University: Participation in councils, committees, the Faculty Senate, and task forces; major efforts on behalf of the Chapter; and representation of the university at official academic and educational functions.
- c. Community: Contributions to the public or private sectors which relate to professional, academic, or scholarly enterprises.
- d. Consulting: Reports on statistical consulting for students, faculty and others at Western and for others in the community.

With regard to Professional Service, it is expected that the candidate will have made satisfactory contributions with respect to Department service.

#### 4. Application of Judgmental Criteria

In its deliberations the DPC should follow the guidelines specified in Article 18.3.6 of the Agreement.

#### D. Evaluation for Faculty Specialists

Faculty specialists on continuing appointments will have a letter of appointment, including any annual updates that will specify the duties and responsibilities of their position. Promotion decisions for faculty specialists will be based on criteria consistent with their letter of appointment in the areas of professional competence and professional service.

#### E. Department Promotion Committee Process

The Department Promotion Committee (DPC) shall consist of all faculty members at or above the rank sought by the promotion candidate. Subcommittee F shall consist of those members of the DPC who hold the rank of full professor. Subcommittee S shall consist of the full and associate professors plus any faculty at the master faculty specialist rank.

At every meeting of the DPC, Subcommittee S shall first convene to transact its business, following which the DTC and then Subcommittee F shall convene to transact their business.

1. Early in every Fall Semester the Department will select one of the full professors in the department to serve as Chair of the DPC for a term of one year. The Chair of the DPC shall call and preside over all meetings of the DPC. A quorum for the DPC shall be two-thirds of the membership not on leave of absence, sick leave, or sabbatical leave. All issues shall be decided by a simple majority of those present and voting. (Absentee ballots are not considered.)

2. The chair of the DPC shall appoint a subcommittee of two DPC members for each promotion review that is to take place. For a promotion to full professor the subcommittee should be chosen from Subcommittee F. The subcommittees shall prepare preliminary reports and recommendations on their candidates based on the contents of the promotion file. These reports and recommendations are submitted to the DPC for consideration at its meeting.
3. Early in the Fall term, each candidate for promotion should prepare a promotion file of material to be considered by the DPC by the submission date. This file should be kept in the Department office for use by the DPC. It is recommended that the Chair assist the candidate in this effort. There should be nothing added to the promotion file by the candidate after the deadline, except verification of pending accomplishments which are submitted to the Department Chair, dean or provost office who then places it in the promotion file. Outside written evaluations relating to professional recognition are required. Such letters should be solicited by the Department Chair and the candidate in accordance with the Agreement. See Article 18.3.9 of the Agreement for more detail.

Once a promotion is granted, only the final notification of the award is retained in the faculty record, with the other materials being returned to the faculty member (Article 11.3.3)

All information collected in a promotion file shall be available for review by members of the DPC at least one week prior to any meeting scheduled to consider recommendations for promotion.

4. The entire DPC shall have the authority and responsibility to make decisions concerning recommendations for promotion. The DPC shall select by secret ballot those candidates to be recommended for promotion. Promotion to Associate Professor is automatic when tenure is granted.
5. Subcommittee F shall have the authority and responsibility to make decisions concerning recommendations for promotion to the rank of Full Professor. Subcommittee F shall select by secret ballot those candidates to be recommended for promotion.
6. Subcommittee S shall have the authority and responsibility to make decisions concerning recommendations for promotion to the rank of Faculty Specialist II and Master Faculty Specialist. Subcommittee S shall select by secret ballot those candidates to be recommended for promotion.
7. The Chair of the DPC shall provide written notification to each candidate of the DPC's recommendation. These notifications, including any report, must be sent by the date specified in the Agreement. After allowing time for any appeal, the report and recommendation shall be sent to the Department Chair and the College Promotion Committee, again, by the date specified in the Contract.

## F. Appeals

The candidate may appeal the DPC's recommendation by the date specified in the promotion timetable in the Agreement by notifying the DPC Chair in writing of the fact and basis for the appeal.

Any candidate for promotion has the right to appeal any decision of the DPC. Thus, not only does a candidate have the appeal right when the recommendation is negative, but also if the recommendation is positive but the candidate objects to the wording in any letters to be sent forward. The appeal is to be considered by the Appeals Committee which is Subcommittee F. The Appeals Committee can decide to deny the appeal or to forward it to the appropriate committee (Subcommittee S, DTC, Subcommittee F) for consideration. If the appropriate committee is reconvened and votes to abide by its original recommendation, the candidate shall have no further right of appeal to the DPC.

## 11. WORKLOAD GUIDELINES FOR TRADITIONALLY-RANKED FACULTY

### A. Intent

The Department of Statistics, in pursuit of excellence in instruction, programs and contributions to the profession, recommends procedures designed to distribute the responsibilities of the Department in a fair and equitable way, while taking into account the diverse tasks required of department faculty. The Department Chair, in consultation with the Department, is responsible for making workload assignments for traditionally-ranked faculty.

In the case of faculty specialists, the department Chair will determine their workload in accordance with their letter of appointment.

In this article the word "faculty" refers to "traditionally-ranked faculty".

In assigning workloads, the Department seeks to accomplish the following objectives:

1. Provide fair and equitable distribution of the workload.
2. Provide balance among teaching, research, and governance responsibilities.
3. Provide for full and effective service from all faculty.
4. Conform with the Agreement between Western and the WMU-AAUP.

## B. Faculty Workload Categories

The functions of faculty members in the Department have been divided into the following workload categories:

1. Teaching of classes.
2. Research, publication and other professional activities.
3. Directing student research.
4. Service to the Department, the College and the University.
5. Mentoring junior faculty
6. Formal Academic Advising.
7. Service beyond the University.
8. Professional Consulting.
9. Statistical Computing Center and technology support for teaching and research.

## C. Basic Faculty Workload

The normal faculty workload shall be consistent with the Western/WMU-AAUP Agreement. The Department faculty recognizes the need for differentiated work assignments due to the diverse nature of their responsibilities. The policy of the Department is to recommend modification of teaching assignments to reflect engagement in research and creative activities, or activities in other workload areas, which cannot be accommodated by a shift in non-teaching duties.

A faculty member's workload will be comprised of the following elements:

### 1. Teaching

In addition to regular classes, this category includes faculty efforts for all student activities that earn academic credit.

Some assignments in teaching involve more time and effort than normal and these should carry more weight in workload considerations. These include:

- a. the assignment of more than one graduate-level course in a given semester.
- b. the assignment of more than two different course preparations in the same semester.
- c. the development of a new course.
- d. the assignment of more than one course in a single semester which is a new preparation for the faculty member concerned.
- e. chairing an active doctoral dissertation or directing more than one independent research project.
- f. the assignment of classes with high enrollments.
- g. development of Web materials for a class.
- h. directing seminars.
- i. serving as coordinator of multi-section courses.

- j. preparation and grading of required program exams.
- k. directing independent study.
- l. mentoring teaching.

Given the importance of teaching to the Department's objectives, care must be taken that its quality is not threatened by work overloads in this area.

2. Research, publication, and other professional activities

This category includes grant funded research, grant related research and unfunded research. These are activities intended for presentation in the public domain. In recognition of the fact that work of this nature cannot be accomplished casually and is a fundamental part of department, college, and university objectives, a reduction in teaching load may be recommended for faculty who present evidence of successful involvement in these kinds of activities. Such a reduction in teaching load may be required by a grant.

3. Directing student research

4. Service to the Department, to colleges and to the University

a. All department faculty are expected to serve on department committees as a part of their normal workloads.

b. As in other parts of the faculty workload, an inequitable distribution of committee assignments can occur and recognition should be given for extra efforts in this area.

(1) Committee assignments should be equitably distributed. If it becomes necessary for a faculty member to have an unusually heavy load of committee work, then it is recommended that adjustments be made in that person's overall workload.

(2) Chairing or serving on significant and demanding college or University committees and councils may be reason for a reduction in workload elsewhere, providing the significance and demands of the work are justified.

(3) In addition, there are tasks which are not performed by all department faculty members and which may produce overload conditions for those performing them if adjustments are not made elsewhere in the individual's workload.

5. Mentoring junior faculty

6. Formal academic advising

7. Service beyond the University

Service beyond the University may be rendered to the profession or to the local community. Examples of service may include serving as an officer of a professional organization or society (regional or national), or serving as an officer or board member of a professionally-relevant community-oriented organization. Such service will be considered for a recommendation of workload reduction if (a) it is in the best interests of the Department, the College, or the University that the work should be done, and (b) it can be documented that such service will be very demanding of the faculty member's time and effort.

#### 8. Professional consulting

This category includes both internal and external consulting related to the professional activities of a faculty member.

#### 9. The Statistical Computing Center and technology support for teaching and research

Included in this category are activities related to the operations of the Statistical Computing Lab and to the acquisition, installation and/or operation of appropriate technology needed for research or instruction.

### 12. SCHEDULE OF COURSE OFFERINGS

The Department will have a two-year schedule of course offerings. This Course Schedule should include a list of all courses to be offered for each term: Fall, Spring and Summer I & II. The general intention is to use this Course Schedule for the two year period and then to repeat it in the following two year period.

The Course Schedule should be recommended to the Department Chair by a vote of the Department. Recommendations for changes can be brought to the Department by any faculty member at any time for its consideration.

The Department Chair finalizes the course schedule based on this recommendation from the Department.

### 13. TEACHING ASSIGNMENTS, COURSE OFFERINGS AND CLASS SCHEDULES FOR REGULAR SEMESTERS

A plan for the schedule of classes for a given semester shall be decided upon at a meeting of the Department. This plan will be a recommendation to the Chair for final action. The Chair will put the matter on an agenda prior to the University deadline for the schedule. The Course Schedule will be the starting point for the class offerings, but modifications can be proposed and instituted, if approved by the group. Modifications may be needed due to student needs, enrollment projections, and requests from other departments or faculty interests.

After a list of courses has been set for a given term, the ranked faculty make choices of their teaching preferences. In an order set by the Chair, the faculty members make one choice at their

turn, cycling through the group until their teaching assignments are completed. The group has the responsibility to see that the needed classes are staffed with qualified teachers and that the teaching assignments are fair and equitable considering the interests and needs of its members. Lower-level classes would be assigned to teaching assistants by the Chair.

The number of classes to be chosen by a faculty member is determined in conjunction with the other duties and responsibilities they may have in the Department. See the Workload Article for details on this.

After the choices for classes have been completed, the days of the week and the times will be set for each class offering. Each faculty member will propose days and times for his or her classes for approval by the group. Student needs and requests from other departments must be satisfied in these choices.

When the schedule detail is completed, a vote of approval is taken and it becomes the Department's recommendation to the Chair.

#### 14. TEACHING ASSIGNMENTS, COURSE OFFERINGS, AND CLASS SCHEDULES FOR SUMMER SESSIONS

A plan for the schedule of classes for Summer sessions shall be decided upon at a meeting of the Department. This plan will be a recommendation to the Chair for final decision. The schedule of classes for consecutive Summer I & II semesters will be done at the same time. The Chair will put the matter on an agenda prior to the University deadline for the schedule. The Course Schedule will be the starting point for the class offerings, but modifications can be proposed and instituted, if approved by the group. Modifications may be needed due to student needs, enrollment projections, and requests from other departments, faculty interests, faculty qualifications or budget restrictions.

In setting the schedule of classes for consecutive Summer I & II semesters, faculty can state their preferences for the number of courses they teach (one or two) and for the term in which they teach. All efforts will be made to compromise, as needed, to make these preferences compatible with each other and with the Course Schedule. If agreement cannot be reached, the Chair will decide the issues. Choices will be made in rotation as described below.

After a list of courses has been set for the two Summer sessions, the following procedure will be used to determine the instructors for the courses.

##### A. The Teaching Scores (T Scores)

Each unit faculty member who is eligible for summer teaching will have a T score indicating the amount of summer session teaching they have done in recent years. Specifically, a person's T score is defined as:

(i) for faculty with 4 or more years of continuous service prior to the sessions:

T score = number of credit hours taught in summer sessions in the previous three years

(If someone taught a total of 7 or more credit hours in a given year this event is counted as 6 credit hours for that year.)

(ii) for faculty with 3 years of continuous service prior to the sessions:

T score = 1.5 \* (number of credit hours taught in summer sessions in the previous two years)

(iii) for faculty with 2 years of continuous service prior to the sessions:

T score = 3 \* (number of credit hours taught in summer sessions in the previous year)

(iv) for faculty with 1 year of continuous service prior to the sessions:

T score = 9

As defined, a person's T score will be in the set {0, .5, 1, 1.5, ... , 18}. Ties in T scores that have an effect on course selection are broken at random.

## B. Selection by Course Rotation

Selection of course by rotation means that courses are selected one-at-a-time in order of professorial rank: full, associate, assistant, master faculty specialist, faculty specialist II, faculty specialist I, instructor. Ties at a given rank are broken by years in that rank and if ties remain they are broken at random. Faculty members shall choose only courses they are qualified to teach.

## C. Assignment of Courses

Begin with the following definitions:

Let  $N$  = number of unit faculty members who express an interest in teaching in either of the Summer I or II sessions

$x_i$  = number of courses, 1 or 2, desired by faculty member  $i$ ,  $i = 1, 2, \dots, N$

$X = x_1 + x_2 + \dots + x_N$ , the total number of courses desired by the faculty

$C$  = number of courses to be offered in the Summer I and II sessions (exclude courses that must be assigned by contract to faculty on fiscal year or alternate year appointments)



Courses will be assigned as follows:

If  $X \leq C$ , courses are selected and assigned by the rotation method (any remaining courses are assigned by the Department Chair)

If  $N < C < X$ ,

- (i) each faculty member gets one course chosen by the rotation method
- (ii) the remaining  $C - N$  courses are chosen in order of lowest T score

If  $N = C$ , each faculty member is assigned one course chosen by the rotation method

If  $C < N$ , courses are chosen in order of lowest T score

After the course offerings and teaching assignment recommendations have been approved by the department, if it becomes necessary to make changes for any reason, then the Chair should promptly bring the issues to the Department so that a new plan can be approved following this procedure.

## 15. SABBATICAL LEAVE

### A. Department Sabbatical Leave Committee

The Department Sabbatical Leave Committee (DSLCL) shall consist of the traditionally-ranked faculty members of the Department, excepting the Chair and those who are currently submitting applications for sabbatical leave. If the DSLCL is reduced to fewer than three individuals, the Chair shall be asked to select additional faculty members from other departments in consultation with the Dean. The DSLCL will be needed only in a year when a sabbatical proposal is received.

### B. Criteria for Sabbatical Leave Proposals

Proposals for sabbatical leave shall be reviewed by the DSLCL and evaluated according to the following criteria.

1. Provides benefits to the University
2. In Its Own Right
  - a. Deals with a significant problem or area.
  - b. Shows promise of making a significant contribution to the subject or problem undertaken.
  - c. Takes advantage of propitious factors:

- (1) Is unusually appropriate at this time.
  - (2) Utilizes newly-available technology and/or methodology.
  - d. Cannot be readily accomplished in a shorter time or with other forms of assistance already available.
  - e. Shows good prospects of successful completion.
3. Relative to the Individual
- a. Utilizes the individual's expertise in a way not otherwise possible.
  - b. Develops new capabilities for research or teaching.
  - c. Allows a synthesis or development of prior efforts or experience.

#### C. Application

Applications for sabbatical leave shall be submitted to the DSLC by September 15 (or as stipulated in the Agreement.) Each application shall include the following, submitted in triplicate:

1. The completed official Application for Sabbatical Leave form.
2. A specific description of the proposed sabbatical leave project, including the place(s) where it is to be carried out, and a tentative timetable for the various stages of the project.
3. An elaboration of the feasibility of the project in terms of the historical background leading up to the project, the qualifications and past accomplishments of the applicant, and a bibliography of relevant references.
4. A statement of anticipated other salaries, fellowships, or financial support the applicant expects to receive during the period of the leave.
5. An up-to-date vita of the applicant.
6. In those cases where the applicant has previously taken a sabbatical leave from Western Michigan University, a copy of the report submitted after the most recent sabbatical leave.

#### D. Selection and Recommendations

The procedures used by the DSLC to make its recommendations shall be the following:

The DSLC shall review each proposal relative to the criteria of Paragraph B of this Article. Each proposal shall be judged either acceptable or unacceptable. If a proposal is judged unacceptable, the applicant will be invited to meet with the DSLC to discuss the shortcomings of the proposal. The applicant may then redraft the proposal.

When the DSLC transmits its recommendations in priority order to the Chair, it shall concurrently inform each applicant in writing of its recommendation regarding the applicant's proposal, including priority order. Should the DSLC decide that a redrafted proposal is still unacceptable the applicant may appeal to the Chair.

The DSLC shall make its recommendation to the Chair by September 25 (or within ten (10) days of the Agreement-specified due date for applications).

#### E. Covering Loads

It is recommended that covering the loads of the individual(s) on sabbatical leave conform to the following principles.

1. The primary responsibility of the Department is to its students. Schedule adjustments should be made so that students' needs are met and optimal instruction is maintained.
2. The teaching load of those faculty on sabbatical leave should be covered primarily by term appointments and visiting appointments.
3. Minor adjustments in the teaching loads of department faculty may be made to cover the balance of the teaching load.
4. The non-teaching responsibilities of the faculty on leave should be shared by other faculty.