

# COLLEGE AND DEPARTMENT DOCUMENT REVIEW COMMITTEE

## Governance Document Checklist

September 2018

The College and Departmental Document Review Committee (CDDR) of Faculty Senate is tasked with reviewing college and departmental governance documents and with providing guidance to units who are writing or revising governance documents.

This checklist provides guidance to departments about required and suggested elements of their governance documents. The first three sections include items mandated by the *Faculty Handbook* in the areas of mission and governance, appointment policies, and evaluations and reviews. The last section, Best Practices, are intended to provide information for faculty that pertain to academic life in a college or department. They are included as suggestions that may provide clarity to your document and information about routine college and departmental activities. Best practices are not required by the *Faculty Handbook*.

**Instructions:** This checklist is for your unit's use as your governance document is updated. If your unit is submitting the checklist to CDDR, please use the online version of the form available through Qualtrics.

<b>Section 1: Governance Documents and University Relationships</b>			
<b>Preamble, Appendices, and Attachments FH §2.6</b>			Page or Section Number(s)
Does your document contain a preamble?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Does the preamble clearly state that it is not a binding part of the governance document?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Does your document have appendices?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Does your document have other attachments?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Is there a statement in your document about which appendices or attachments are binding?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
<b>Mission, Governance Domains, and Structure – FH §2.6.2</b>			Page or Section Number(s)
Is there a description of the unit's mission?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Is there a description of governance domains?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Is there a description of governance structure?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
<b>Budget Advisory Committee - FH §2.6.3</b>			Page or Section Number(s)
Is there clear information about how budget information is communicated with the unit?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Is there a budget advisory committee?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	

<b>Section 2: Appointment Policies and Procedures</b>			
<b>Faculty appointment policies and procedures (§3.1, §3.2)</b>			Page or Section Number(s)
Do faculty in the department have input into hiring decisions?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
<b>Minimum Qualifications (§3.1.3)</b>			
Does your document have statement about the minimum qualifications necessary for appointment as a faculty member?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
<b>Tenured and Tenure-Eligible Appointments (§3.3.1)</b>			
Does your document have appointment procedures for tenure-track and tenured faculty?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
<b>Term Faculty Appointments (§3.3.2)</b>			
Does your department offer positions with the following types of term faculty appointments:			
Teaching Faculty (§3.3.2.2)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Practice Faculty (§3.3.2.2)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Clinical Faculty (§3.3.2.2)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Research Faculty (§3.3.2.2)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
<b>Term Faculty Governance (§3.3.2.4)</b>			
Does your document include provisions for Term Faculty that define:			
Instructional Responsibilities	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Search and Appointment Processes	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Review, Renewal and Advancement procedures	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Does your document describe how term faculty participate in shared governance, e.g. voting rights, meeting participation, and committee service?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
<b>Other Faculty Appointments</b>			
Does your department offer the following types of positions:			
Affiliates (§3.3.3.1),	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Professional & Scientific (P&S) Term Faculty Appointments (§3.3.3.2)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Visiting Appointments (§3.3.4)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Joint Academic Appointments (§3.3.5)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	

<b>Section 3: Evaluation and Review</b>			
<b>3.1: Position Responsibility Statements</b>			
Does your document provide details about:			Page or Section Number(s)
Review and Update of the PRS (§3.4.3.2)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Formal Review of the PRS (§3.4.3.2.1)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
PRS Mediation Process (§3.4.4)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
PRS Mediation Panel Composition (§3.4.4)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	

<b>Section 3.2: Faculty Review Procedures</b>			
<b>Annual Faculty Reviews (§5.1.1.2)</b>			
Does your department conduct annual reviews for all faculty?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Does your document specify the process by which the faculty member will provide evidence about their performance in the areas of their position responsibilities for the year under review?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Are annual evaluations for faculty based on the faculty member's Position Responsibility Statement?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Does the annual evaluation result in a final report signed by both the chair and the faculty member?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Is there a process in place for developing an action plan in the event of an unsatisfactory review? (§5.1.1.2)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
<b>Evaluation of Department Chairs (§5.1.2)</b>			
Does your document have policies and procedures regarding review of department chairs?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
<b>Preliminary Review of Probationary Faculty (§5.1.1.3)</b>			
Is there a process in place for the preliminary review of probationary faculty?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Does the process include peer review?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Does the process include an evaluation by the chair?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Is the process based on departmental standards for promotion and tenure?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
<b>Voting procedures for P&amp;T (§5.2.4.1)</b>			
Promotion and tenure procedures must ensure that the guiding principle of "one-person – one-vote" is complied with where a vote, is defined as a formal vote, or a recommendation on the specific question of whether or not a candidate should receive tenure and/or promotion.			

Does your document specifically prohibit double voting for promotion and tenure cases?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
<b>Promotion and Tenure Document (§5.2.4.2.1)</b>			Page or Section Number(s)
Does your P&T Document specify the following:			
How faculty members are selected for departmental review for promotion and/or tenure	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
The composition and means of selection of the department promotion and tenure committee and of any other department committees that may be involved in the review process	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
The definition of conflict of interest operative in departmental review	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
The procedures to be followed by the department promotion and tenure committee and related committees in conducting the reviews	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
The role of the chair in the department promotion and tenure review process	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
The process and circumstances under which a review may be postponed	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
The types and sources of information that the department review committee will consider in conducting its review	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
The criteria by which probationary faculty in a department are evaluated for tenure is clearly and specifically stated (§5.2.6.1)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
The means by which persons being considered submit information and documentation for the review process	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
The procedures for obtaining any external evaluations used by the department in evaluating the performance of candidates	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
The definition of the factual information in the dossier subject to review by the faculty member before it is advanced from the department	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
The procedures for the notification of the results of the reviews	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
The mechanism for faculty to review and comment on factual information in a recommendation being forwarded to the college (§5.2.4.2.6)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	

<b>Post Tenure Review Policy (§5.3.5)</b>			Page or Section Number(s)
Does your post-tenure review policy specify the following:			
Participants involved in the review	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Review Procedures	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Materials to be reviewed	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Mechanisms for the faculty member to respond	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Outline of guiding principles for post tenure review (§5.3.5.6)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
<b>Evaluation of administrators: department (§5.1.2), college (§5.5.1),</b>			
Does your document include policies and procedures for the evaluation of administrators	<input type="checkbox"/> Yes	<input type="checkbox"/> No	

<b>3.3 Term Faculty Evaluation and Review</b>			
<b>Evaluation, Renewal, and Advancement of Term Faculty Appointments (§5.4)</b>			
Does your document include procedures regarding:			
Annual reviews for all term faculty?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Reviews of term faculty for renewal of appointment? (§5.4.1.2)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Reviews of term faculty for advancement, including a peer review committee? (§5.4.1.3)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Evaluation, Renewal and Advancement of P&S Term Faculty Appointments (§5.4.1.4)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Evaluation, Renewal and Advancement of Continuous Adjunct Appointments (§5.4.2)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Evaluation, Renewal and Advancement of Affiliates (§5.4.4)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	

<b>Review of Teaching Assistants ( FH §5.6)</b>			
Does your document include procedures for reviews of teaching assistants?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Does your teaching assistant review encompass the following areas:			
Knowledge of the subject material at a level appropriate for the course being taught	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Proficiency in oral and written communication in formal and informal instructional settings	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Ability to evaluate student performance appropriately	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Facility with appropriate instructional materials and equipment	<input type="checkbox"/> Yes	<input type="checkbox"/> No	

<b>Mechanism for faculty to approve curricular changes (§10.8.1)</b>		Page or Section Number(s)
Does your document include a mechanism for faculty to approve changes to the curriculum of the department?	<input type="checkbox"/> Yes	<input type="checkbox"/> No

<b>Section 4: Best Practices</b>		
The <i>Faculty Handbook</i> states that college and departmental documents shall “describe its mission, governance domains, governance structure, and other policies and procedures.”		
Does your document include any of these items:		
A table of contents	<input type="checkbox"/> Yes	<input type="checkbox"/> No
A list of administrators and administrative committees (with organization chart)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Information about appeal and grievance procedures	<input type="checkbox"/> Yes	<input type="checkbox"/> No
A list of standing committees and their duties	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Information about committee appointment mechanisms	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Information about faculty involvement in new faculty hires	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Information about faculty meetings: meetings called by whom, minimum number of meetings per year/semester, quorum requirements, use of parliamentary rules, etc.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Procedures for modifying governance documents	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Information about professional development	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Recommendations for syllabus inclusion	<input type="checkbox"/> Yes	<input type="checkbox"/> No