**COLLEGE AND DEPARTMENT DOCUMENT REVIEW COMMITTEE**

**Governance Document Checklist**

**October 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.

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

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| **Section 2: Appointment Policies and Procedures** |
| **Faculty appointment policies and procedures** (§3.1, §3.2) | Page or Section Number(s) |
| Do faculty in the department have input into hiring decisions? | ☐ Yes | ☐ No |   |
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| **Minimum Qualifications** (§3.1.3)  |  |
| Does your document have statement about the minimum qualifications necessary for appointment as a faculty member? | ☐ Yes | ☐ No |   |
| Does your document include a statement about the minimum qualifications required for appointment in each term faculty track offered by your unit? | ☐ Yes | ☐ No |  |
| **College documents ONLY**: Does your document include a procedure for departments to seek a waiver for a candidate who does not have the stated minimum qualifications? | ☐ Yes | ☐ No |  |
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| **Tenured and Tenure-Eligible Appointments** (§3.3.1) |
| Does your document have appointment procedures for tenure-track and tenured faculty? | ☐ Yes | ☐ No |   |
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| **Term Faculty Appointments** (§3.3.2) |
| Does your department offer positions with these types of Term Faculty appointments: |  |  |  |
| Lecturer (§3.3.2.2)  | ☐ Yes | ☐ No |  |
| Teaching Track (§3.3.2.2)  | ☐ Yes | ☐ No |  |
| Practice Track (§3.3.2.2) | ☐ Yes | ☐ No |  |
| Research Track (§3.3.2.2) | ☐ Yes | ☐ No |  |
| Clinical Track (§3.3.2.2) | ☐ Yes | ☐ No |  |
| Adjunct Track (§3.3.2.2) | ☐ Yes | ☐ No |  |
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| **Term Faculty Governance (§3.3.2.4)** |
| Does your document include provisions for Term Faculty that define:  |  |
| Instructional Responsibilities  | ☐ Yes | ☐ No |  |
| Search and Appointment Processes | ☐ Yes | ☐ No |  |
| Review, Renewal and Advancement procedures | ☐ Yes | ☐ No |  |
| Does your document describe how term faculty participate in shared governance, e.g. voting rights, meeting participation, and committee service? | ☐ Yes | ☐ No |  |

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| **Other Faculty Appointments** |  |
| Does your department offer the following types of positions: |  |  |  |
| Affiliates (§3.3.3.1), | ☐ Yes | ☐ No |  |
| Professional & Scientific (P&S) Term Faculty Appointments (§3.3.3.2) | ☐ Yes | ☐ No |  |
| Visiting Appointments (§3.3.4) | ☐ Yes | ☐ No |  |
| Joint Academic Appointments (§3.3.5) | ☐ Yes | ☐ No |  |

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| **Section 3: Evaluation and Review** |
| **3.1: Position Responsibility Statements**  |
| Does your document provide details about: | Page or Section Number(s) |
| Review and Update of the PRS (§3.4.3.2) | ☐ Yes | ☐ No |  |
| Formal Review of the PRS (§3.4.3.2.1) | ☐ Yes | ☐ No |  |
| PRS Mediation Process (§3.4.4) | ☐ Yes | ☐ No |  |
| PRS Mediation Panel Composition (§3.4.4)  | ☐ Yes | ☐ No |  |

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| **Section 3.2: Faculty Review Procedures** |
| **Annual Faculty Reviews** (§5.1.1.2) |  |
| Does your department conduct annual reviews for all faculty? | ☐ Yes | ☐ 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? | ☐ Yes | ☐ No |  |
| Are annual evaluations for faculty based on the faculty member’s Position Responsibility Statement? | ☐ Yes | ☐ No |  |
| Does the annual evaluation result in a final report signed by both the chair and the faculty member? | ☐ Yes | ☐ No |  |
| Is there a process in place for developing an action plan in the event of an unsatisfactory review? (§5.1.1.2) | ☐ Yes | ☐ No |  |
| **Preliminary Review of Probationary Faculty** (§5.1.1.3) |
| Is there a process in place for the preliminary review of probationary faculty? | ☐ Yes | ☐ No |  |
| Does the process include peer review? | ☐ Yes | ☐ No |  |
| Does the process include an evaluation by the chair? | ☐ Yes | ☐ No |  |
| Is the process based on departmental standards for promotion and tenure? | ☐ Yes | ☐ No |  |

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| **Voting procedures for P&T** (§5.2.4.1) |
| 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? | ☐ Yes | ☐ No |  |
| **Promotion and Tenure Document** (§5.2.4.2.1) Does your P&T Document specify the following: | Page or Section Number(s) |
| How faculty members are selected for departmental review for promotion and/or tenure  | ☐ Yes | ☐ 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  | ☐ Yes | ☐ No |  |
| The definition of conflict of interest operative in departmental review  | ☐ Yes | ☐ No |  |
| The procedures to be followed by the department promotion and tenure committee and related committees in conducting the reviews  | ☐ Yes | ☐ No |  |
| The role of the chair in the department promotion and tenure review process  | ☐ Yes | ☐ No |  |
| The process and circumstances under which a review may be postponed  | ☐ Yes | ☐ No |  |
| The types and sources of information that the department review committee will consider in conducting its review  | ☐ Yes | ☐ No |  |
| The criteria by which probationary faculty in a department are evaluated for tenure is clearly and specifically stated (§5.2.6.1) | ☐ Yes | ☐ No |  |
| The means by which persons being considered submit information and documentation for the review process  | ☐ Yes | ☐ No |  |
| The procedures for obtaining any external evaluations used by the department in evaluating the performance of candidates  | ☐ Yes | ☐ No |  |
| The definition of the factual information in the dossier subject to review by the faculty member before it is advanced from the department  | ☐ Yes | ☐ No |  |
| The procedures for the notification of the results of the reviews  | ☐ Yes | ☐ 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) | ☐ Yes | ☐ No |  |

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| **Post Tenure Review Policy** (§5.3.5)Does your post-tenure review policy specify the following: | Page or Section Number(s) |
| Participants involved in the review | ☐ Yes | ☐ No |  |
| Review Procedures | ☐ Yes | ☐ No |  |
| Materials to be reviewed | ☐ Yes | ☐ No |  |
| Mechanisms for the faculty member to respond | ☐ Yes | ☐ No |  |
| Outline of guiding principles for post tenure review(§5.3.5.6)  | ☐ Yes | ☐ No |  |
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| **Evaluation of administrators**: department (§5.1.2), college (§5.5.1), |  |
| Does your document include policies and procedures for the evaluation of administrators:  |  |
| Department Chairs (§5.1.2) | ☐ Yes | ☐ No |  |
| College Deans (§5.5.1) | ☐ Yes | ☐ No |  |

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

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

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| **Mechanism for faculty to approve curricular changes** (§10.8.1) | Page or Section Number(s) |
| Does your document include a mechanism for faculty to approve changes to the curriculum of the department? | ☐ Yes | ☐ No |  |

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| **Section 4: Best Practices** |
| The *Faculty Handbook* 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 | ☐ Yes | ☐ No |  |
| A list of administrators and administrative committees (with organization chart) | ☐ Yes | ☐ No |  |
| Information about appeal and grievance procedures  | ☐ Yes | ☐ No |  |
| A list of standing committees and their duties | ☐ Yes | ☐ No |  |
| Information about committee appointment mechanisms | ☐ Yes | ☐ No |  |
| Information about faculty involvement in new faculty hires | ☐ Yes | ☐ No |  |
| Information about faculty meetings: meetings called by whom, minimum number of meetings per year/semester, quorum requirements, use of parliamentary rules, etc. | ☐ Yes | ☐ No |  |
| Procedures for modifying governance documents | ☐ Yes | ☐ No |  |
| Information about professional development | ☐ Yes | ☐ No |  |
| Recommendations for syllabus inclusion | ☐ Yes | ☐ No |  |