

MU Statistics Policy Handbook

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Department of Statistics
Policy on Faculty Merit Evaluation and Salary Raises

An annual evaluation of each regular faculty member will be conducted for salary raises according to the following guidelines.

1. Performance of the previous three consecutive years will be used for evaluation and raises. For faculty on leave, the previous two years plus special accomplishments during the leave should be considered for merit evaluation.
2. The department chair will appoint an advisory committee. Each committee member will review the record of each faculty member, exclusive of him/herself and the chair, and rate each member in the areas of teaching, research, and service. The following scale shall be used in these ratings: 1= excellent, 2=good, 3=adequate, 4=fair (needs some improvement), and 5= unacceptable or no contribution. Decimals may be used with ratings in the interval [1,5]. This rating will be confidential and without discussion among committee members.
3. Items to be included under teaching, research, and service are suggested in the attached guideline, dated July 29, 2004. Teaching evaluations will be performed according to the faculty approved policy on teaching evaluations. See attached policy dated July 29, 2004.
4. The chair will use the ratings from the advisory committee to decide on overall ratings. The overall ratings will generally be based on the weights 4:4:2, for teaching, research, and service. Departures will be made when there is a previous agreement between the faculty member and chair. Such exceptions will generally be made with the approval of the dean. The overall ratings may also be based on special circumstances. Before the ratings are submitted to the dean, each faculty member will receive his/her averaged committee ratings and overall rating.
5. The chair will determine annual salary raises on the basis of the annual rating and allocation from the dean's office. The chair may use additional information not available to the committee and consider special circumstances in salary recommendations.
6. A faculty member may request a meeting with the chair to review his/her rating and salary raise.
7. A faculty member may ask for a departmental hearing regarding his/her annual evaluation and salary decision according to the attached appeals procedure approved by the faculty on July 29, 2004.

Approved by Statistics Faculty
July 28, 1992, revised March 3, 1993, July 29, 2004, Oct 27, 2005

DEPARTMENT OF STATISTICS
GUIDELINES FOR ITEMS INCLUDED UNDER TEACHING, RESEARCH, AND
SERVICE
AS AMENDED JULY 29, 2004

A. Teaching and Advising

- A1. Knowledge of subject matter, including current developments.
- A2. Ability to create student interest in subject matter.
- A3. Participation in departmental and interdepartmental curricular development.
- A4. Originality in developing new teaching methods.
- A5. Leadership in experimenting with classroom techniques.
- A6. Using computers in classes where they should be used.
- A7. Student evaluations.
- A8. Syllabi and tests.
- A9. Writing textbooks and monographs not included under B6.
- A10. Supervising Masters reports and Ph.D. dissertations.

B. Research and Scholarship

- B1. Originality and quality of published and unpublished contributions to knowledge. Development of statistical methodology or theory is expected. When added to these expected contributions, substantial applications of statistics and/or probability, expository/review articles and contributions to statistical education also are valued.
- B2. Outside recognition of research activities.
- B3. Initiation and direction of research projects.
- B4. Grant acquisitions.
- B5. Editing technical journals and books.
- B6. Writing research monographs.

C. Service and Extension

- C1. Continuing Study.
- C2. Outside consulting work. Inside consulting with faculty and graduate students. Statistician on grants from applied areas.
- C3. Activities in professional and learned societies.

- C4. Contributions to the development of the department and the university in such areas as increased competence of the staff, diversity of offerings, interdepartmental collaboration, committee assignments, etc.
- C5. Contributions to student development.
- C6. Contribution on administrative assignments.
- C7. Participation in examination and student advisory committees, both within and outside the Department.
- C8. Organizing a teaching or research conference.

Approved by Statistics Faculty
February 27, 1992
Revised December 11, 1992

APPEALS PROCEDURE

Any faculty member who has had an annual evaluation and wishes to appeal his/her annual evaluation and salary decision may ask for a departmental hearing.

The hearing will be conducted by a committee consisting of the tenured faculty, but not include the chair or aggrieved. This committee will select its own chair and submit a written report of its findings and recommendations to the chair and the aggrieved. The chair will examine the report and take further action if he/she decides that it is necessary. The aggrieved faculty will be given the chair's decision and, if not satisfied, may appeal to the Dean.

Approved by the Department of
Statistics Faculty on May 7, 1992
Amended on December 1, 2005

Robert K. Tsutakawa
Chair

**PROMOTION AND TENURE CRITERIA AND PROCEDURES FOR THE
DEPARTMENT OF STATISTICS
AS AMENDED AUGUST 4, 2004, OCTOBER 27, 2005, and May 2010**

REGULAR (TENURED OR TENURE-TRACK) FACULTY

In accordance with university policy, contributions of individual regular faculty members are judged in three areas: (1) instruction and student advising, (2) research or other creative artistic achievements, and (3) service. The first two are necessary; the third is an important additional activity.

Recommendations to award tenure shall be based on sustained contributions that can be clearly substantiated. The ranks of associate professor and professor principally represent degrees of scholarly maturity and recognition. Promotion to associate professor (and the awarding of tenure) reflects a demonstrated potential and considerable progress toward developing a national reputation in the discipline. In order to be promoted to professor, one shall have established such a reputation, and be a valuable teacher, preferably in more than one area of the departments teaching program. These achievements are to be verified via the procedures described below.

A. Untenured Faculty

During the course of each academic year the activities of each faculty member shall be documented by the individual faculty by providing information to be placed in his or her file. The tenured faculty in the Department of Statistics shall meet at least once a year to review the activities and performance of each nontenured faculty member. This should be done in late April or early May. A summary of this review shall be transmitted in writing to the nontenured faculty member as well as being placed in that faculty member's file. The faculty member will sign the written evaluation to acknowledge its receipt and may provide a written response to the evaluation. This report and any response provided by the faculty member will be considered by the Chair in her/his annual evaluation of the untenured faculty member's performance as prescribed by Paragraph A of Section 310.015 of the UM Academic Tenure Regulations. At the conclusion of this annual evaluation, the tenured faculty shall vote to recommend to the Dean reappointment, nonreappointment, or a terminal appointment for the nontenured faculty member for the following academic year consistent with university requirements for notification. A simple majority of all ballots cast excluding blanks and abstentions is required to recommend reappointment.

B. Annual Review In the Third Year Toward Tenure

An extensive review shall be conducted by the tenured members of the Department of Statistics at the end of the third year toward tenure of a nontenured candidate. This review shall include, whenever possible, an explicit statement of how well the candidate is meeting the Departmental expectations above for progress toward tenure. The Department shall forward a statement of third year evaluation to the Dean, together with any written statement by the nontenured faculty member pertaining to it. The Department shall also forward copies of all subsequent evaluations to the Dean, along with any written statement by the candidate.

C. Departmental Procedures for Tenure Recommendations

During May or June immediately preceding the beginning of the untenured candidate's 6th year, the Chair of the Department of Statistics will appoint a committee consisting of some or all of the tenured members of the Department for the purpose of reviewing the candidate's record and making a suggestion to all of the tenured members of the Department relative to the candidate's promotion and tenure. As part of its review, this committee shall solicit outside letters of evaluation. These evaluations shall include letters from disinterested, qualified reviewers from comparable departments including, when appropriate, at least 3AAU public Universities and they shall be solicited with the understanding that, in so far as possible, access to them will be limited to persons involved in the tenure decision. The candidate shall be given the opportunity to recommend reviewers. The Chair of the Department shall prepare the final list of reviewers with some of the reviewers suggested by the committee and some suggested by the candidate if the candidate recommended reviewers.

The committee shall submit a written review of the candidate's qualifications, with or without a recommendation on tenure, to the tenured faculty of the Department. All documentation being used by the committee shall be available to the tenured faculty. The tenured faculty shall vote by a secret ballot on a recommendation with regard to tenure. A two-thirds majority of all eligible voters is required for a positive tenure recommendation. Tenured faculty members on leave shall be given the opportunity to vote. However, if a faculty member on leave chooses not to vote, then he/she shall not be counted as an eligible voter. Members of tenured faculty in agreement with the recommendation will have the opportunity to participate in preparing, and if necessary defending on appeal, the tenured faculty's recommendation. The recommendation of the tenured faculty, including the number of votes for and against tenure, shall be forwarded to the Dean by the Department Chair. The Chair shall make a separate "Chair's Recommendation" with regard to tenure.

A recommendation for promotion and tenure prior to the mandatory year should rarely occur and must be based on overwhelming support and extraordinarily compelling evidence. In such cases, the procedures given above will be used.

D. Departmental Procedures for Recommendation of Promotion to Associate Professor.

The same procedures that are used for tenure will also be used for promotion to Associate Professor,

E. Departmental Criteria for Recommendations of Promotion to Associate Professor and/or Tenure for Assistant and Associate Professors.

A candidate's accomplishments in teaching, research, and service are considered.

1. RESEARCH. It is expected that persons on permanent appointment will have demonstrated the potential and have made considerable progress toward developing a documented national reputation in the discipline. This will be supported by confidential evaluations from leaders in

the candidate's field of research at comparable AAU institutions. The primary consideration is the published research record. There should be a significant record of quality published research beyond the thesis and, in the case of joint work, there should be evidence that the candidate is able to do research independently. External research support will generally be considered as evidence of recognition by peers of quality research.

Such activities as seminars, talks, research proposals, invited addresses, attendance at scholarly meetings, refereeing and reviewing are important indications of continuing professional contributions toward the field of statistics but do not by themselves satisfy research criteria.

2. TEACHING. Effective teaching at both the undergraduate level and the graduate level is required.

3. SERVICE. While research and teaching are of primary importance, quality service to the Department, the University, and the Statistics profession strengthens a candidate's record. Service includes statistical consulting with faculty and graduate students, activities in professional and learned societies, contributions to the development of the Department, and the University, contributions on administrative assignments, and participation in examination and students advisory committees, both within and outside of the Department.

F. Annual Review of Associate Professors.

In late April of each year the tenured full professors of the Department of Statistics shall be called to order by the Chair of the Department for the purpose of reviewing the activities and performance of each Associate Professor. Upon request by the Associate Professor, the results of the review shall be transmitted by the Chair in writing to the Associate Professor and placed in his or her file, together with any reaction by the faculty member.

G. Departmental Procedures for Recommendation of Promotion to Full Professor.

When the tenured full professor in the Statistics Department decide that promotion may be warranted for a particular Associate Professor, an intensive review of the candidates qualifications will be initiated no later than, the spring preceding the fall semester in which a recommendation may be forwarded to the college.

As part of its review, the committee shall solicit outside letters of evaluation. These evaluations shall include letters from qualified reviewers, and they shall be solicited with the understanding that, in so far as possible, access to them will be limited to persons involved in the promotion decision. The candidate shall be given the opportunity to recommend reviewers.

When all of the tenured full professors have had the opportunity to review all of the data, they will vote by secret ballot on whether or not to recommend promotion. A two-thirds majority of all eligible voters is required for a positive recommendation for promotion. Tenured full professors on leave shall be given the opportunity to vote. However, if a tenured full professor on leave chooses not to vote, then he/she shall not be counted as an eligible voter. Those tenured full professors that concur with the recommendation shall have the opportunity to participate in

preparing it and, if necessary, defending it on appeal. A favorable recommendation, including the number of votes for and against promotion, shall be forwarded to the Dean by the Department Chair. The Chair shall make a separate “Chair’s Recommendation” with regard to promotion.

H. Departmental Criteria for Recommendations of Promotion to Professor.

Candidates for a Professorship are expected to demonstrate continuing growth beyond that expected for promotion from Assistant to Associate Professor in the areas of (1) research, (2) teaching, and (3) service. National and international recognition of the significance of the individual’s research is expected. Promotion to the rank of Professor will not normally be considered until the candidate has reached the sixth year in rank as an Associate Professor. Earlier Promotion to Professor is regarded as an acknowledgment of the exceptional importance of a candidate’s contributions, and will be recommended only when evidence is compelling.

1. RESEARCH. A substantial record of quality research is considered very important. National and international recognition in the area should be supported by such evidence as external funding of research, recognition by professional societies and symposia, and confidential evaluations from leaders in the candidate’s field of research at other institutions.

2. TEACHING. A record of effective teaching is essential.

3 SERVICE. Quality service within the department and on this campus is important. In addition, a candidate is expected to have substantial involvement in the statistical community. The following activities are examples of such involvement.

- a) refereeing or reviewing
- b) participating in meetings
- c) serving as an editor of a journal
- d) providing other types of service to various statistical organizations.

I. Performance Review of Tenured Faculty Excluding the Chair

As specified in Paragraph B of Section 310.015 of the UM Academic Tenure Regulations, the activities of each tenured faculty member with tenure home in the Department of Statistics will be rated as satisfactory or unsatisfactory in research, teaching and service each year. The annual report of each tenured faculty member as described in Paragraph B of those tenure regulations, which may be the same as that submitted for that year’s annual merit review for salary increases, will be considered by the members of the Department’s Advisory Committee who must rate the accomplishments of each tenured faculty member, except her/himself and the Chair, in each of the areas of research, teaching and service as satisfactory or unsatisfactory. The Chair, who will be evaluated annually by the Dean, will provide ratings for the three members of the Advisory Committee in the same three areas. These ratings provided by members of the Advisory Committee and by the Chair shall be based on the criteria and the rating scale specified in part J, Minimal Expectations of Tenured Faculty. The Chair and the Advisory Committee will meet to discuss these ratings, but each member of the Advisory Committee will leave the meeting when

her/his ratings are discussed. The rating for a particular faculty member with regard to a particular area will be satisfactory if two or three of the ratings for that faculty member and that area are satisfactory. Otherwise, it will be unsatisfactory, in which case this committee will provide that faculty member a written report of how the minimal expectations of tenured faculty were not met in the particular area. The overall annual rating for a tenured faculty member shall be satisfactory if her/his rating is satisfactory for all three of the areas of teaching, research and service. Otherwise, it shall be unsatisfactory.

As described in Paragraphs B.1.c through B.1.f of Section 310.015 of the UM Academic Tenure Regulations, the five-year review of tenured faculty with tenure home in the Department of Statistics will be conducted by the Chair of the Department of Statistics and the Department's Advisory Committee will serve as the departmental committee of faculty peers mentioned there. However, for the committee to review the five-year performance of one of its members, the chair of the department will appoint a tenured faculty member with tenure home in the department to serve in place of the member whose performance is being reviewed.

J. Minimal Expectations of Tenured Faculty

Tenured faculty members are expected to teach effectively, have an active research program, and engage in appropriate service to the University and profession. Both the criteria for evaluating faculty performance in these three areas and the rating scale used by members of the Advisory Committee and the Chair shall be the same as those described in items 1, 2, and 3 of the department's "Policy on Faculty Merit Evaluation and Salary Raises." The annual rating provided by a member of the Advisory Committee for a particular faculty member in a particular area shall be satisfactory if the rating assigned by that member of the Advisory Committee for that faculty member in that area for the merit review that spring did not exceed 4.0. Ratings by members of the Advisory Committee not specified in this paragraph as satisfactory shall be unsatisfactory. The annual rating provided by the Chair for each member of the Advisory Committee in each of these three areas shall be based on the same criteria and rating scales and obtained in the same manner.

NON-TENURE TRACK FACULTY

A. Review of Non-Tenure track faculty

During the course of each academic year the activities of each non-tenure track faculty member, who teaches or serves as a statistical consultant, shall be documented by the individual faculty by providing information concerning the activities for which they are employed by the department. This information will be placed in his or her file. The Advisory Committee in the Department of Statistics shall meet at least once a year to review the activities and performance of each non-tenure track faculty member. This should be done in late March or early April. A summary of this review shall be transmitted in writing to the non-tenure track faculty member as well as being placed in that faculty member's file. The faculty member will sign the written evaluation to acknowledge its receipt and may provide a written response to the evaluation. This report and any response provided by the faculty member will be considered by the Chair in her/his annual evaluation of the non-tenure track faculty member's performance as prescribed by Paragraph A

of Section 310.015 of the UM Academic Tenure Regulations. At the conclusion of this annual evaluation, the Advisory Committee shall vote to recommend to the Chair of the Department of Statistics, subject to the availability of funds, reappointment, non-reappointment, or a probationary one-year reappointment for the non-tenure track faculty member for the following academic year. However, if the non-tenure track faculty member holds the rank of Associate Teaching Professor, Teaching Professor or equivalent (see Section B below), then such a vote only will be required every third year unless requested by the Chair of the Department. A reappointment decision of the Advisory Committee may be overturned by a majority of voting members.

B. Titles for Non-tenure track Faculty: Teaching faculty

Under the current system of titles, non-tenure track faculty whose primary responsibility is instruction (including teaching courses, coordinating courses, modifying and updating courses, and developing new courses), herein referred to as “teaching faculty,” shall ordinarily hold one of the following titles: *Instructor*, *Assistant Teaching Professor*, *Associate Teaching Professor*, or *Teaching Professor*. (These guidelines shall apply to persons holding other faculty titles provided the responsibilities of that person are primarily instructional in nature.) It shall be the policy of the Department of Statistics at the University of Missouri – Columbia to judge the contributions of teaching faculty in the following areas:

- 1. INSTRUCTION.** Effective teaching is essential. Coordinating courses, modifying and updating courses, developing new courses, developing new teaching methods, and experimenting with novel classroom techniques are also important.
- 2. SERVICE.** While teaching is of primary importance, quality service to the Department, the University, and the Statistics profession strengthens a candidate’s record. Service includes statistical consulting with faculty and graduate students, activities in professional and learned societies, contributions to the development of the Department, and the University, contributions on administrative assignments, and participation in examination and student advisory committees, both within and outside of the Department.

The four typical titles for teaching faculty are described below.

Instructor: Persons holding this title ordinarily should have earned a Master’s degree or the equivalent and have demonstrated the potential to excel in the areas of instruction and service.

Assistant Teaching Professor: Persons holding this title have earned a doctoral degree or the equivalent and have demonstrated the potential to excel in the areas of instruction and service.

Associate Teaching Professor: Persons holding this title have earned a doctoral degree or the equivalent and have demonstrated, over a sustained period, excellence in the areas of instruction and service.

Teaching Professor: Persons holding this title have earned a doctoral degree or the equivalent and have established a national reputation for excellence in instruction and/or service.

C. Promotion Procedures for Teaching faculty

Based on the criteria below, the Chair of the Department of Statistics, at any time deemed to be in the best interest of the department, or the department's Advisory Committee, at the end of its annual review of non-tenure track faculty, may recommend promotion of one or more teaching faculty. A two-thirds majority vote of eligible voters on a secret ballot is required for such a promotion to take effect, where the eligible voters are voting members in the department at the proposed rank or higher (for this purpose, an assistant teaching professor and an assistant professor have the same rank, an associate teaching professor and an associate professor have the same rank, etc.). If, after its annual review, the Advisory Committee does not recommend promotion for a teaching faculty member, then, during that same semester, that faculty member may ask the eligible voters to consider his/her case. However, if the eligible voters do not support his/her promotion with a two-thirds majority vote, then in the next spring, if the Advisory Committee does not recommend promotion of that faculty member, he/she cannot ask the eligible voters to consider his/her case. An eligible voter on leave shall be given the opportunity to vote. However, if such a person chooses not to vote, then he/she shall not be counted as an eligible voter.

D. Promotion Criteria for Teaching faculty

Promotion from Instructor to Assistant Teaching Professor may occur at the beginning of the first fall semester after the Instructor earns a doctoral degree.

Promotion from Assistant Teaching Professor to Associate Teaching Professor may occur at such time that the faculty member has demonstrated, over a sustained period, excellence in the areas of instruction and service. While the length of this "sustained period" may vary on a case-by-case basis, it is expected that the typical length will be six academic years of full-time college or university employment, while holding a doctoral degree, in a position for which instruction is the primarily responsibility.

Promotion from Associate Teaching Professor to Teaching Professor may occur at such time that the faculty member has established a national reputation for excellence in instruction and/or service. This may be demonstrated by letters of support, participation at national or international meetings, service to the profession, publications related to instruction and/or service, authorship of textbooks, or in other ways that draw positive national or international attention to the department and to the university through the faculty member's accomplishments.

CRITERIA AND PROCEDURES FOR DOCTORAL FACULTY MEMBERSHIP IN DEPARTMENT OF STATISTICS

The Department of Statistics has determined the following criteria and procedures for Doctoral Faculty membership:

1. Membership on the College of Arts and Science Graduate Faculty is required.
2. Members must possess the earned degree of Doctor of Philosophy, or equivalent in degree earned or in professional achievement.
3. Members must document significant achievement in research or scholarly activities which demonstrate sustained independent work and which has brought professional recognition by national standards. In most instances, recognition will be demonstrated by publication of articles in refereed journals. Other evidence includes invited articles or lectures, membership on editorial boards of scholarly journals, receipt of national grants or awards, and national senior postdoctoral fellowships. Members shall demonstrate current involvement in research or scholarly activity.
4. Previous experience in directing thesis or dissertation work is a relevant consideration, but is not necessarily a condition for membership.
5. Procedures for certification: potential candidates will be notified of the above criteria. They will submit documentation of their achievements to the chair of the department who will meet with doctoral faculty members of the department and evaluate the candidate's dossier. This group will send its recommendation to the chair of the membership committee of the Graduate Faculty Senate. Renewals will be handled in the same fashion.
6. The applicant may appeal the department's decision to the membership committee of the Graduate Faculty Senate.

December 8, 2009

**Department of Statistics
Policy on Leaves**

- a. Faculty members are encouraged to take leaves of absence. Each faculty member should read and take advantage of the University leave of absence policy which is stated in the Faculty Handbook beginning on page F-1. Quoting from the introduction of page F-1, “Leaves of absence provide opportunities for the reflection, research, and professional development essential in a scholarly community.”
- b. Faculty members are encouraged to take sabbatical leaves, research leaves, or development leaves which are discussed in the Faculty Handbook beginning on page F-1.
- c. Leaves of absence without pay will be granted if such a leave seems to be in the best interests of the department. Ordinarily a leave of absence without pay will be granted for no more than one year. A leave of absence without pay for valid reasons may be extended for a second year if, in the judgment of the Chair, this seems to be in the best interests of the department.
- d. In addition to the University leave of absence policy as stated in the Faculty Handbook, the department also will encourage the taking of time away from teaching duties by the consideration of flexible teaching loads. For example, a faculty member could teach an overload for one or more semesters and then not have any teaching duties for one full semester.
- e. The Chair will administer the leave policy in such a way that the department can meet its teaching obligations in a satisfactory manner. Generally, no more than 30 percent of the faculty members should be on leave at the same time. The Chair should be given sufficient advance notice so that an adequate replacement can be found.
- f. Faculty taking leaves shall abide by the University leave of absence policy as stated in the Faculty Handbook.

Approved by the Department of
Statistics on April 11, 1990

Robert K. Tsutakawa, Chair

**Department of Statistics
Procedure for Selecting Candidates
For the Department Chair**

1. During the last two weeks of September of the final year of the incumbent chairman's term of office, the incumbent chairman will call a meeting of the faculty of the Department of Statistics for the purpose of selecting a chairman and inform the Dean of this meeting.
2. The faculty will prepare a slate of candidates by nomination and polling the faculty to determine who is eligible and willing. The slate shall include the option of forming a search committee to seek outside candidates.
3. The faculty will indicate their wishes by a closed ballot vote at a second meeting to be held within three weeks of the first meeting. Appropriate further action is then to be taken. In particular, faculty are encouraged to communicate their individual wishes directly to the Dean.
4. The Chair is appointed by the Dean. Thus, if the Dean finds that none of the candidates recommended are acceptable, the Department will reconsider its recommendation.
5. The above procedure can be temporarily set aside and a different procedure followed if there is a preference by the faculty to follow a different procedure as indicated by a two-thirds vote.

Approved by the faculty on
September 30, 1994

Robert K. Tsutakawa
Chair