



Office of the Provost
3090 Zumberge Hall
Gayle R. Davis, Provost and Executive Vice President
for Academic and Student Affairs

MEMORANDUM

TO: Karen Gipson, Chair, ECS/UAS

FROM: Gayle R. Davis, Provost and Executive Vice President
for Academic and Student Affairs

SUBJECT: Faculty Activity Plans/Faculty Activity Reports (FAP/FAR)

DATE: August 13, 2015

C: Jon Jellema, Associate Vice President for Academic Affairs
Academic Deans
Felix Ngassa, Vice Chair, ECS/UAS
Marie McKendall, Chair, Faculty Personnel Policy Committee
Human Resources Office
ECS Members
Lisa Surman Haight, Office of the Provost

A handwritten signature in cursive script that reads 'Gayle'.

I received your memo in which you forwarded University Academic Senate support to improve the process for faculty activity planning and to update policy as needed. I understand that you and Associate Vice President Jellema were appointed by UAS to revise policy language. After review of the submitted materials, I concur with the recommendations and approve the requested changes to the *Faculty Handbook* to be effective Fall 2015. The approved language is attached. I appreciate the valuable work that you and Jon completed this summer for all our faculty colleagues.

Chapter 3: Faculty Responsibilities, Faculty Planning, and Faculty Evaluation Procedures and Salary Adjustment Program

3.01 Faculty Responsibilities

Grand Valley State University recognizes the value of mentoring for all faculty, and especially for new faculty. The University provides new faculty with a first-year, University-Wide Mentor Program that is designed to support them as they begin to engage as teachers, scholars, and citizens of the university and greater community and begin to adjust to their responsibilities as faculty. Colleges and/or units provide additional discipline-specific, and unit- and/or college-specific mentoring. All new faculty are strongly encouraged to begin immediate participation in the University-Wide Mentor Program regardless of appointment date.

The role of a faculty member involves an interlocking set of responsibilities to students, to colleagues in both the institution and the wider profession, to the institution itself and its surrounding community, to the advancement of knowledge and understanding in the faculty member's field, and to the ideals of free inquiry and expression. Normally, these are articulated as the areas of teaching (Regular Faculty) or professional effectiveness (Library Regular Faculty), scholarship and creative activity, and service, as outlined in the Administrative Manual, Chapter 4 Faculty Personnel Policies, Sections 2.9.1-2.9.2

Each unit shall establish expectations, in writing, for all its faculty, in the areas of teaching (for Regular Faculty) or professional effectiveness (for Library Regular Faculty), scholarship and creative activity, and service based on disciplinary standards and best practices and unit, college and university goals and work. Teaching (for Regular Faculty) or professional effectiveness for (Library Regular Faculty), scholarship/creative activity, and service are included in each faculty member's workload. For both Regular Faculty and Library Regular Faculty, these unit expectations will be approved by the unit faculty, unit head, and the dean.

Regular Faculty

The primary responsibility of faculty is excellent teaching [as described in the [Administrative Manual, Chapter 4, Section 2.9.1.A](#)]. Effective teaching must be documented by: a) self-evaluation, b) peer evaluation, and c) student evaluations. Evidence of effective teaching is a significant factor in contract renewal, tenure, promotion, and salary increment decisions. Units should periodically review and clarify course expectations of students. Appropriate course expectations, pedagogies, and assessment vary, depending on the discipline, course level and class size.

Library Regular Faculty

The primary responsibility of Library Regular Faculty is professional effectiveness [as described in the Administrative Manual, Chapter 4, Section 2.9.2.A]. Evidence of professional effectiveness is a significant factor in contract renewal, tenure, promotion, and salary increment decisions. Evaluation of professional effectiveness will be on the

basis of the judgment of colleagues and/or those who are instructed or served.

A. Teaching and Professional Work

Regular Faculty: Workload

Normally, within a full-time load, the expectation for teaching shall be 9 credits per semester. Evidence of effective teaching is significant in decisions on tenure, promotion, and salary increments. Each unit, with the approval of its dean, shall determine the number of courses that are required when any or all of the courses are other than three credits. Each unit, with the approval of its dean, shall also determine equivalencies of studios, labs, rehearsals, team-teaching, distance education, supervision of theses or student research, clinical or internship supervision, independent study or reading courses, teaching extraordinarily large classes, and other such formal teaching activities. Normally, no more than three different course preparations will be required of any faculty member in any semester.

Library Regular Faculty: Workload

The expectations for Library Regular Faculty are particular to each position, detailed in position description documents approved by the dean. Normally, within a full-time load, professional work assignments combine with scholarly/creative activities and service in 12-month appointments to equal full-time appointment.

B. Scholarly/Creative Activity (*formerly called Professional Activity*)

All Faculty

Within a normal full-time load, all Regular Faculty [as described in the Administrative Manual, Chapter 4, Section 2.9.1.B], including Library Regular Faculty [as described in the Administrative Manual, Chapter 4, Section 2.9.2.B], are expected to engage in basic, applied or pedagogical scholarship or creative activity as determined by the unit, college, and profession. Evidence of scholarship or creative activity is significant in decisions on tenure, promotion and salary increments. A variety of activities are considered appropriate for accomplishing these objectives and such activities are significant in decisions on tenure, promotion, and salary increments. Faculty scholarship or creative activity is generally acknowledged to be an important indicator of professionalism. Such activities not only sustain academic vitality but also promote student involvement, and activity that is desirable in the undergraduate and graduate education experiences. Methods of maintaining and updating professional competencies may include, but are not limited to, publications, presentations, performance, grant writing, scholarly or creative activity with students, and participation in professional meetings, institutes, and workshops. Enrollment in graduate courses may be especially important to those individuals lacking the terminal degree.

C. Service

All Faculty

In addition to teaching and scholarly/creative activities within a normal full-time load, all Regular Faculty [as described in the Administrative Manual, Chapter 4, Section 2.9.1.C], including Library Regular Faculty [as described in the Administrative

Manual, Chapter 4, Section 2.9.2.C], are expected to engage in service as determined by the unit, college, and profession. Service may include participating in unit, college or university activities that support the operation and mission of the unit, college or university, the profession, and/or the community. Evidence of service is significant in decisions on tenure, promotion, and salary increments.

1. **Service to the Unit**

Faculty members' contributions to the unit may include unit committees and leadership activities, design and implementation of curriculum, the maintenance of facilities and equipment, the preparation of unit-related grant proposals, etc.

2. **Service to the College and University**

GVSU operates under a shared governance model. Faculty members serve through election or appointment to college and university committees. A listing of current committees and the members on each committee will be posted on the Faculty Governance website. Service may also include participating in college or university activities that support the mission of the university or college.

3. **Service to the Community and/or the Profession**

Faculty members are also responsible for contributing to their profession and/or their community. Community service and service to the profession involves the engagement of a faculty member's professional expertise. Community service includes, but is not limited to, engaging in community outreach, acting as a board member in a community based organization, participating in public service programs, and volunteering your services as a consultant on community projects when representing the University. Service to the profession includes leadership and or committee roles in professional organizations.

Each unit and the library must establish its own standards and criteria for evaluation [as described in the Administrative Manual, Chapter 4, Section 2.9.1.C and Section 2.9.2.C.]

D. Area of Significant Focus

Regular Faculty

In their annual Faculty Activity Plan (see 3.02.A. below), every Regular Faculty member shall propose a significant focus beyond the expectations established by the unit in the areas of teaching, scholarship/creative activity, and service. The significant focus will be reviewed and approved by the unit head and dean. This focus shall require approximately the same amount of time as teaching a 3 credit hour, or standard course per semester; it shall not have been counted as part of the expected teaching load or have been compensated externally or additionally. Faculty members should confirm that their Significant Focus of activity is consistent with their unit's and college's expectations for tenure and promotion.

Library Regular Faculty

Library Regular Faculty may optionally negotiate a temporary adjustment to their normally assigned expectations established by the unit in the areas of professional effectiveness, scholarship/creative activity and service in a given year to take on a proposed area of significant focus. This significant focus will be reviewed and approved by the dean. Faculty members anticipating review for personnel action, and

especially action for tenure and promotion will want to ensure that their significant focus of activity is consistent with their unit's and college's expectations for tenure and promotion.

3.02 Faculty Planning: Faculty Activity Plans and Faculty Activity Reports

Grand Valley State University uses a two-part faculty planning process. The first part of the process involves each faculty member consulting with their Unit Head and putting together a prospective Faculty Activity Plan (FAP) that outlines their anticipated activities and significant focus for the next calendar year. The second part involves filling out a retrospective Faculty Activity Report (FAR) to document how much of their FAP they were able to complete. The purposes of this planning process are to allow faculty members to develop individualized activity plans that reflect various career stages and interests, to help tenure-track faculty make positive progress towards tenure, to encourage all faculty to continue to be reflective about their roles at the university, and to provide a more objective basis for salary adjustments. (See Section 3.06.A.5 below and Chapter 4, Section 2.10.5 D of the Administrative Manual)

A. Faculty Activity Plan (FAP)

Faculty members plan their teaching, scholarship, and service activities a year at a time and share them with their Unit Head for advice and agreement. By **October 1** of each year, faculty members shall prepare and submit Faculty Activity Plans (FAPs) for the calendar year ahead (the coming winter and following fall semesters), indicating the courses they are prepared to teach, the service activities (including reassigned time) in which they may engage, and the expected outcomes of their Significant Focus (see 3.01.E above). The Unit Head will collect and review the FAPs and will hold individual discussions with each untenured faculty member. When both Unit Head and the faculty member are satisfied that the proposed FAP is realistic and consistent with unit and college expectations, the Unit Head signs it and makes it available to the unit. If modifications to the FAPs of either tenured or untenured faculty are needed as the year progresses, the faculty member discusses necessary changes with the Unit Head and edits the FAP to reflect approved changes. At the close of the calendar year all FAPs will be appended to the corresponding year's Faculty Activity Reports (see Section 3.02.B. below).

B. Faculty Activity Report (FAR)

Faculty members shall prepare and submit current vitae along with Faculty Activity Reports (FARs) for the preceding calendar year not later than **February 1** of each year. The FAR lists the courses that were taught, details the service (including reassigned time) that was performed, and explains the outcomes of the Significant Focus. Each year's FAR should discuss how much of the work anticipated in the corresponding FAP was able to be completed and explain any additional work performed. The Unit Head will collect the vitae and FAR, append to it the corresponding FAP, and distribute the three documents to the unit for peer review. The compiled results of the peer review and Unit Head's evaluation form the basis of the annual discussion between Unit Head and faculty to set salary. These documents also are used cumulatively to inform tenure and promotion decisions (see Sections 3.05.B and 3.06.A.5 below).

The policy for extending probationary appointments by pausing the tenure clock can be found in the [Administrative Manual, Chapter 4, Section 2.7.2.](#)

3.03 Faculty Teaching Requirements (Selected)

A. Absence from Class

Faculty members are responsible for meeting all classes for which they are scheduled. If faculty members are absent from teaching responsibilities due to illness, they should notify their unit heads and arrange for their students to be so informed at the beginning of the scheduled class meeting.

In those cases where absences can be anticipated, approval for such absences must be obtained from the unit head and the Dean. The faculty members are then responsible for arranging for substitutes or otherwise covering their teaching assignments.

B. Change of Instructor, Time, or Place of Meeting

Change of instructor, time, or place of meeting for a scheduled class may be made only with the approval of the unit head and the Dean of the College. The office of the Dean of the College sends changes to the [Records Office](#) where a current master schedule is maintained.

C. Information Given at First Class Meeting

1. A syllabus.
2. The title, department, and number of the course.
3. Prerequisites to the course, if any.
4. The name, office number, and office hours of the instructor offering the course.
5. An explanation of policy relative to student absences.
6. The objectives and requirements of the course.
7. The basis for grading in the course.
8. The texts and/or laboratory supplies required for the course.
9. Date and time of final examination (from published exam schedule)

D. Office Hours for Student Conferences

Members of the faculty are expected to post and maintain adequate office hours.

E. Selection of Textbooks

Faculty members are responsible for submitting information on textbooks and other required material for their courses when such information is requested from the [University Bookstore.](#)

3.04 Professional Ethics

The University recognizes that membership in the academic profession carries with it special responsibilities and that the University bears a responsibility for articulating and

maintaining ethical standards. The University normally handles questions concerning propriety of conduct internally by reference to either faculty committees convened to review particular infractions or to standing committees such as a college personnel committee.

A. Human Subjects Review

All projects within Grand Valley State University involving research on human subjects require review and approval by the Human Research Review Committee. To view the procedure for review and approval, go to the [Research Protection Program website](#).

B. Animal Research

Grand Valley State University (GVSU) policy and federal law require a review of research projects for humane treatment and judicious use of vertebrate animals. Vertebrate animals include wild, captive, domestic, and laboratory fish, amphibians, reptiles, birds, and mammals. At GVSU, this review is conducted by the GVSU Institutional Animal Care and Use Committee (IACUC). Principal Investigators must obtain approval from the IACUC before initiating any research, testing or instructional project involving the use of vertebrate animals. To view the procedure for gaining approval, see the information at the [Research Protection Program website](#).

C. Grand Valley State University Policy and Procedures for Handling Allegations of Misconduct in Research

“Misconduct in science” means fabrication, falsification, plagiarism, or other practices that seriously deviate from those commonly accepted within the research community for proposing, conducting, or reporting research. Grand Valley State University has established and abides by uniform policies and procedures for investigations and reporting instances of alleged or apparent misconduct involving research, training, or related research activities. To view the policies and procedures, go to the [Research Misconduct Procedures link](#).

D. Confidentiality in Professor-Student Relationship

Each faculty member is expected to respect the confidential nature of the professor-student relationship and avoid any exploitation of students for private and/or professional advantage. In keeping with its responsibility to provide a congenial atmosphere in which all students have an equal opportunity to learn, the University disapproves of and seeks to eliminate discriminatory behavior directed against individuals. Such behavior, which may take the form of statements, jokes, examples, and illustrations that reveal stereotypic and discriminatory attitudes, is considered inappropriate.

E. Outside Employment

Since faculty and staff members are required to fulfill their responsibilities completely and effectively, any outside employment which a faculty or staff member wishes to undertake must be approved in advance by the appointing officer.

Faculty members should annually review the nature of any outside employment with their unit head. In addition, teaching at other colleges should have the prior approval of the unit head.

Information about faculty obligations and **Rights in published material, inventions and secret processes, the Oath of Teachers, and Research Integrity** can be found in *Chapter 4, Section 1.10 of the Administrative Manual*.

3.05 Faculty Evaluation Procedures:

A. Written Performance Expectations

Each unit will develop written performance expectations (for contract renewal, tenure, promotion, and sabbatical leave) of all unit faculty as appropriate to various ranks. These expectations should be specific to the disciplinary focus of the unit but compatible with the performance expectations of all faculty as expressed in the Faculty Handbook and of the college/school in which the unit is housed.

B. Faculty Activity Reports and Faculty Activity Plans

Annually, by **October 1**, each faculty member will prepare a Faculty Activity Plan (FAP) for the next calendar year and by **February 1** submit the Faculty Activity Report for the preceding calendar year. These documents should address how his/her activities and achievements comply with the general expectations of the unit, college/school, and the university. The Faculty Activity Plans and Faculty Activity Reports will be reviewed by the unit head and the dean of the college (or by a designee of the dean) for consistency with unit and college expectations and be made available to the unit faculty members.

C. Student Course Evaluations

Normally, student evaluations of each course are completed each semester.

D. Peer Evaluations

See the process identified in [Chapter 4, Sections 2.3 to 2.10 of the Administrative Manual](#).

E. Collegiality

1. Collegiality in an academic evaluation context is generally understood as civility, mutual respect, or as a court decision defines it, "the capacity to relate well and constructively to the comparatively small bank of scholars in whom the ultimate fate of the university rests."
2. Collegiality does not refer to one's view of another's social skills or position on controversial issues, which are not appropriately part of the evaluation process. Nor is collegiality a fourth, separate evaluation criterion at Grand Valley. Only the three criteria specified in the General Personnel Policies are appropriately part of the evaluation process; however, collegiality can be relevant as a qualitative standard applied to those three criteria. For example, a faculty member's sharing an innovative teaching method with colleagues, assisting another with a scholarly project, and participating in University functions are positive examples of collegiality that are related to the evaluation criteria of teaching effectiveness (for regular faculty) or professional effectiveness (for Library regular faculty)

scholarly/creative activity, and service, respectively.

See the Collegiality Policy Statement in the Grand Valley Manual [[GV Manual](#)]

F. Contract Renewals, Promotion and Tenure Decisions

The process for personnel evaluations for contract renewals, promotion, and tenure decisions is outlined in the [Administrative Manual, Chapter 4, Sections 2.3 to 2.10](#).

The unit head or designee(s) refers to the member or members designated by the unit to carry out the personnel review process, as specified in the [Administrative Manual, Chapter 4, Section 2.10.7 A](#).

Evaluation Principles. The evaluation process is designed to create an open, uniform, and equitable procedure for the review of faculty by their peers. The central principle of this process is to have an informed, candid and open, job-related discussion of the candidate in a unit meeting followed by a unit vote and written recommendation. This is accomplished by the following steps given in outline form (specific details for each step are in the relevant sections):

1. The submission by the unit head and the candidate to the unit of materials necessary for the action under consideration, including relevant Faculty Activity Plans and Faculty Activity Reports.
2. An agenda for a unit meeting based on the candidate's review materials and unit regular faculty's input after review of the candidate's materials. This input should address both the candidate's achievements and the writer's concerns as to how the candidate has addressed the criteria for review.
3. A unit meeting where the strengths and weaknesses of the candidate are discussed followed by a unit vote on the personnel action. The first motion for a vote on the personnel action under consideration is for the action (for renewal, for promotion, or for tenure).
4. A unit recommendation prepared after the unit meeting based on the discussion and written comments. This recommendation is submitted to the dean.
5. A review of the unit action by a College/Library Personnel Committee whose role is to:
 - a. ascertain whether the unit has followed the procedures for contract renewal, etc.
 - b. ascertain whether the unit has adequately discussed all the issues raised by the individual unit regular faculty of the unit about the candidate under discussion.
 - c. determine whether substantive issues require the Committee to contradict the unit's recommendation.
 - d. in the absence of a valid vote by the unit to make a recommendation based on its own judgment.

Evaluation Procedure Flow Chart. A Flow Chart of the evaluation procedure is available in Appendix I.

3.06 Faculty Annual Salary Adjustment Program

Each year the Faculty Salary and Budget Committee (FSBC) recommends to the University Academic Senate (UAS) how funds, as available for faculty salary increases,

are to be administered. The document wherein the resulting salary increase process is described is titled the Faculty Salary Adjustment Program. It is distributed to teaching members of the faculty during the initial stages of the process, usually by the end of the winter term.

The pool of available funds each year is characterized as a percent of current faculty base salaries, i.e., X.X% in the "generic" copy.

Questions about the process should be directed to your unit head. Suggestions for the improvement of the process should be communicated to your college's representative on the Faculty Salary and Budget Committee as early as possible during the Fall Semester. The Committee considers revisions each year.

A. Faculty Salary Adjustment Program

The Board of Trustees approves annually an increase in funds available for salary increments.

1. Fund Allocation.

- a. 15% of the total increment funds available are retained by the Provost for special salary adjustments. All of these funds will be expended for these purposes.
- b. 85% of the total increment funds available are allocated to the appointing officers. The current appointing officers are:
 - Dean of the Seidman College of Business
 - Dean of the College of Community and Public Service
 - Dean of the College of Education
 - Dean of the College of Liberal Arts and Sciences
 - Dean of the Padnos College of Engineering and Computing
 - Dean of the College of Health Professions
 - Dean of the Kirkhof College of Nursing
 - Dean of the Brooks College of Interdisciplinary Studies
 - Dean of the University Libraries

2. Range of Salary Adjustments

Recommendations for individual salary adjustments to the Provost must fall within the following ranges. These ranges are based on performance over the past academic year.

- a. Less than satisfactory performance: 0 to 55%.
- b. Satisfactory performance: 70% to 100%.
- c. Exemplary performance: 105+%.

In addition, the Appointing Officer may also make a request for a special salary adjustment (see 3.c below) to the Provost. Adjustment by the Provost can result in individual salary increment percentages, based on the total increment funds, being higher for certain individuals.

3. Guidelines for Increments

- a. Appointing officers are required to recommend salary adjustments to the Provost. The appointing officer will consider the summary of peer evaluations

- as the most important factor in determining the recommendation for salary adjustment.
- b. The Provost will consider individual salary adjustment problems that cannot be resolved within an appointing officer's allocation. Appointing officers must prepare written justification to support such requests.
 - c. The funds retained by the Provost (15% of total increment funds) are intended to address outstanding performance, extraordinary circumstances, and market conditions. These are allocated based on written requests from appointing offices for salary adjustments that cannot be resolved by the appointing officers allocation and cases identified by the Provost which require special adjustment. In making these adjustments, the Provost should consider salary compression as an important factor. Promotional increments are not included in these funds.
4. **Evaluation Criteria**. Evaluation criteria for faculty performance reviews are specified in the [Administrative Manual, Chapter 4, Section 2.9](#).
5. **Unit Peer Evaluation**
Peer evaluation is part of the salary adjustment process.
- a. Every member of a unit will be given the opportunity to evaluate his/her colleagues based on the evaluation criteria unless a two-thirds majority of the faculty vote each year to waive that option. This decision must be communicated in writing to the appointing officer.
 - b. The Unit head will collect relevant Faculty Activity Plans, Faculty Activity Reports, and current vitae not later than February 1. The faculty member is responsible for submitting these materials in a timely manner to permit peer evaluation to take place.
 - c. The unit head is responsible for distribution of these materials corresponding to the evaluation criteria in a timely manner to enable peer evaluation to take place.
 - d. The unit head shall summarize peer evaluations and forward such summary to the appointing officer. However, unit faculty peer evaluations of the unit head shall be sent directly to the appointing officer.
 - e. If peer evaluation does not take place, the unit head shall evaluate each faculty member against the evaluation criteria and transmit a recommendation to the appointing officer.
6. **Communication with faculty**
The determination of recommended salary ranges will ordinarily be completed by the end of the winter semester/term. However, the actual dollar amount of the range may not be determined by that time.
- a. Unit heads must communicate salary adjustment ranges and a summary of performance in writing to each faculty member by the end of the winter semester. The written performance summary will include the unit head's summary, in writing, of the peer evaluations (or the unit head's recommendations if peer evaluations are not done). The written performance summary will also discuss the faculty member's performance in teaching, scholarship, and service as reflected in the FAP and FAR, and will, for tenure-track faculty who are untenured, address any departmental concerns regarding

contract renewal, tenure, and promotion. The unit head will also discuss each faculty member's performance for the past year in a personal meeting held ordinarily by the end of the winter semester/term.

- b. Appointing officers are required to see that faculty members are advised of their recommended salary adjustment and this recommendation should be communicated to faculty by the end of the winter semester/term.
 - i. For tenured faculty members, written justification is not required for recommendations within the satisfactory range. However, appointing officers must prepare a written justification to the Provost to accompany salary adjustment recommendations in the ranges for "less than satisfactory performance", "exemplary performance," and "special salary adjustments." A copy of the justification for these adjustments needs to be provided to each affected faculty member ordinarily by the end of the winter semester/term.
 - ii. For tenure-track faculty members who are untenured, written justification is required for recommendations in all ranges. Appointing officers must provide a written justification to the Provost to accompany all salary adjustment recommendations, a copy of which needs to be provided to each faculty member ordinarily by the end of the winter semester/term.
- c. If the actual dollar amount of the increment is known at this time, this will also be communicated by unit heads. This is in addition to, and does not replace, the annual salary letter.
- d. The annual salary letter will communicate both the percent and actual dollar amount of the salary adjustment, including a breakdown by category of adjustment (merit, promotional increment, and special salary adjustments). This letter will be mailed to faculty when the actual dollar amounts are known.
- e. The annual salary letter will also communicate both the percent and actual dollar amount of the total faculty salary adjustment as compared to the previous year.

7. **Appeals.**

Faculty who disagree with the salary adjustment may appeal using pertinent supporting material according to the procedure specified in the [Administrative Manual Chapter 4, Section 2.18.](#)

8. **Promotional increments.**

As provided in the [Administrative Manual Chapter 4 Section.2.20.5](#), faculty who are promoted shall receive, in addition to their regular salary increase, the indicated promotion increment or no less than the minimum of the salary range of the new rank if the combination of the regular increase and the promotion increment fall below the minimum.

Promoted to:

Assistant Professor	\$1,000
Associate Professor	\$3,500
Full Professor	\$5,000