Attached are the Guidelines for determining the *Faculty Excellence Awards* that will become part of AY 2014-2015 salaries for eligible continuing full-time tenure-track faculty (hereinafter “Faculty members”). Please distribute copies of the Guidelines to all eligible Faculty members in your academic unit or regional campus.

The *Guidelines* are presented in the following order for your convenience:

I. **GENERAL GUIDELINES AND DEFINITIONS**

II. **IMPLEMENTATION GUIDELINES**

III. **RECOMMENDED TIMELINE**

IV. **COLLECTIVE BARGAINING AGREEMENT REFERENCES**
   *Faculty Excellence Awards - General Principles*, from CBA, ARTICLE XII, Section 3 and ARTICLE XII, Section 4.C.2.
I. GENERAL GUIDELINES AND DEFINITIONS

1. **Evaluation Period.** As established by the Collective Bargaining Agreement, the period for which faculty excellence is to be assessed is from **August 19, 2013 through August 17, 2014.** For Faculty members who entered the bargaining unit **later than August 19, 2013,** the period for which faculty excellence is to be assessed is the period of their membership in the bargaining unit, that is, from the effective date of appointment to a position as a Faculty member at Kent State University.

2. **Eligibility.** Eligibility for Faculty Excellence Awards is limited to "continuing" Faculty members. A “continuing” Faculty member was a Faculty member in AY 2013-2014 and who is continuing as a Faculty member in AY 2014-2015.

3. **Faculty Excellence Awards Pools.** The pools to fund Faculty Excellence Awards will be allocated to each College, College without departments or schools, University Libraries or regional campus on a per capita basis in proportion to the number of eligible continuing Faculty members in each academic unit or regional campus as of the fall semester 2014.

   a. **Sixty percent (60%)** of each allocation shall be for the purpose of establishing Faculty Excellence Awards at the academic unit or regional campus level.

   b. **Forty percent (40%)** of each allocation to the College, College without departments or schools, University Libraries or regional campus shall be for the use of the Dean, at his/her discretion, to make additional awards or to supplement awards at the academic unit or regional campus level within the limitations, purposes and parameters established for Faculty Excellence Awards.

   c. At each level of award no more than a combined total of **up to 50%** of the eligible continuing Faculty members in each academic unit/campus (rounded up) in both categories can receive Faculty Excellence Awards in AY 2014-15. (For AY 2014-15, rounding up will occur with any amount over a whole number.) At each level, the entire allocation should be distributed.

4. **Categories of Awards.** Two (2) broadly-defined categories of faculty excellence are to be recognized through the Faculty Excellence Awards: (1) teaching and university citizenship; and (2) research and/or creative activity. The expectation is that 50% of the Kent Campus pool shall be used to support faculty excellence in each of these two categories. For the regional campuses, the expectation is that two-thirds of the pool will be used to support faculty excellence in teaching and university citizenship and one-third to support research and/or creative activity.

5. **Reconsideration Requests.** In order to address Faculty requests for reconsideration of the preliminary determination of Faculty Excellence Awards at the academic unit or regional campus level in the least disruptive fashion as possible, a portion (e.g., 10%) of the academic unit/campus allocation should be set aside from the preliminary determination distribution. This reserve can then be used to address adjustments, if deemed warranted, with the remainder of this reserve being redistributed proportionately as part of the final determination process to augment awards that have already been determined.

6. **Impact on Salary.** Faculty Excellence Awards shall be added to base salaries effective August 17, 2014.
II. IMPLEMENTATION GUIDELINES

1. **Academic Unit or Regional Campus level:**

   a. Existing Faculty Excellence Award (“merit”) criteria and unit procedures are to be reviewed and modified, if desirable, by the academic unit’s Faculty Advisory Committee (FAC), the College Advisory Committee (CAC) in Colleges without departments or schools and University Libraries, or the regional campus’ Faculty Council (FC), subject to the approval of the chair/director or dean, as applicable. The chair/director or dean distributes (i) all applicable criteria, including the criteria on which the Dean will rely for awarding the portion of the Faculty Excellence Awards pool that is designated for her/his use; (ii) a copy of these Guidelines, and (iii) instructions for the preparation of Faculty Excellence application materials to all eligible continuing Faculty members.

   b. Faculty members submit material for review, evaluation, and assessment of achievement in the two (2) Faculty Excellence Awards categories: (1) teaching and/or university citizenship and (2) research and creative activity. These materials are to be presented in such form or detail as prescribed by the FAC/CAC/FC and the academic unit administrator or the dean.

   c. The Faculty advisory body identified for that purpose (e.g., FAC, CAC, FC, FEA Committee1) according to the criteria in the academic unit/campus handbook should review, evaluate, and **recommend** the appropriate Faculty Excellence Awards to the academic unit administrator or campus dean in light of the materials submitted in accord with the specified unit criteria and these Guidelines for each of the two (2) Faculty Excellence categories for up to 50% of the eligible continuing Faculty members.

   d. Following review of the **recommendations** and consultation with the College Dean, if applicable, the academic unit administrator or regional campus dean makes a “preliminary determination” of Faculty Excellence Awards to be drawn from the academic unit/campus allocation and distributes the preliminary determinations to the applicants and the Faculty advisory body identified in 1.c. above. This distribution should include a list of all applicants and the preliminary determination for each applicant.

   e. In accord with procedures established by the academic unit/campus, Faculty members shall have the right to request reconsideration of the academic unit administrator or regional campus dean’s preliminary determination.

      1) A request for reconsideration shall be made, in writing, to the academic unit administrator or regional campus dean for consideration by the Faculty advisory body identified in 1.c. above.

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1 If, in the handbook, an academic unit/campus identifies an ad hoc Faculty advisory body for the Faculty Excellence Awards process, that ad hoc advisory body is also responsible for making recommendations on any request(s) for reconsideration (See, Section 1.e.2) below), unless otherwise specified in the handbook (See, Collective Bargaining Agreement, Article XII, Section 3.E.S.).
2) The Faculty advisory body identified in 1.c. above shall review all such requests for reconsideration and make a final recommendation to the academic unit administrator or regional campus dean for the Faculty Excellence Awards from the academic unit/campus allocation to the unit administrator/regional campus dean.

3) The academic unit administrator/regional campus dean shall review these recommendations with regard to requests for reconsideration before making a “final determination” on the Faculty Excellence Awards at the unit level. Affected Faculty members should be notified of these final determinations with copies, or summaries, to the Faculty advisory body identified in 1.c. above and to the College Dean, if applicable.

4) The request for reconsideration of a “preliminary determination” is the only mechanism or level of “appeal” provided by these Guidelines or by the Collective Bargaining Agreement governing the determination of Faculty Excellence Awards.

2. Dean’s Discretionary Pool:

   a. The purpose of the Dean’s (i.e., College Deans, Deans of Colleges without departments or schools, Regional Campus Deans) discretionary pool is to assure appropriate flexibility for recognition of accomplishment and contribution beyond the disciplinary perspective or allocated resources of individual units. In accord with Article VI, Section 4.A, of the Collective Bargaining Agreement, the CAC should be consulted with regard to “allocations of faculty salary increases from the Dean’s salary increase pool.”

   b. For Colleges with departments or schools, the Dean shall allocate the 40% discretionary pool on a per capita basis to the academic units in the College before making discretionary distributions from the pool.

   c. At each level of award no more than a combined total of up to 50% of the eligible continuing Faculty members in each academic unit/campus (rounded up) in both categories can receive Faculty Excellence Awards in AY 2014-15. (Rounding up will occur with any amount over a whole number.)
III. RECOMMENDED TIMELINE

The dates indicated below, except for January 1, 2015 and March 1, 2015, are advisory only. As such, they are offered in order to secure a timely completion of the process by the contractually-mandated deadlines. As one stage of the process is completed, the academic unit/regional campus should proceed immediately to the next step of the process. Chair and Directors, Deans and Regional Campus Deans may modify the timelines, except for the dates of January 1, 2015 and March 1, 2015, to suit their specific circumstances.

Week of September 29, 2014: Provost’s office distributes the Guidelines, lists of eligible continuing full-time tenured and tenure-track faculty members and allocations for Faculty Excellence Awards to all Deans and Regional Campus Deans. In Colleges with departments or schools, the Dean distributes this information to the Chairs and Directors. The Deans will also provide the criteria on which he/she will rely for awarding his/her discretionary portion of the Faculty Excellence Awards pool to Chairs and Directors or the eligible Faculty members in Colleges without departments or schools, University Libraries or regional campuses.

Week of October 6, 2014: Chairs and Directors convene the FAC, Deans of Colleges without departments or schools and University Libraries convene the CAC, and Regional Campus Deans convene the FC for the purpose of reviewing the unit criteria and procedures for the distribution of Faculty Excellence Awards as included in the academic unit or regional campus handbook.

Week of October 13, 2014: Chairs and Directors, Deans of Colleges without departments or schools and University Libraries and Regional Campus Deans distribute all criteria, procedures and a copy of these guidelines to all eligible continuing Faculty members.

Week of October 20, 2014: Consistent with the academic unit/campus criteria and procedures, each eligible continuing full-time tenured or tenure-track faculty member who wishes to apply for a Faculty Excellence Award should prepare a listing of accomplishments within the August 19, 2013 through August 17, 2014 evaluation period.

Recommended end date for submission of materials: October 27, 2014

Week of November 3, 2014: The Faculty advisory body identified for that purpose according to the criteria in the academic unit/campus handbook reviews materials submitted by eligible continuing full-time tenured and tenure-track faculty members who wish to be considered for Faculty Excellence Awards and make recommendations to the to the Chair/Director, Dean or Regional Campus Dean, as applicable.

Week of November 17, 2014: Chairs/Directors, Deans, or Regional Campus Deans, as applicable, review these recommendations; make their “preliminary
determinations”; and, distribute the “preliminary determinations” to the Faculty members who applied for a Faculty Excellence Award. Faculty members have the opportunity to request reconsideration of the “preliminary determinations”.

Week of December 1, 2014: Review of Reconsideration requests.
- Considered by the Faculty advisory body identified for that purpose according to the criteria in the academic unit/campus handbook, as applicable.
- The Faculty advisory body makes a recommendation on the request to the Chair/Director, Dean or Regional Campus Dean, as applicable.
- The Chair/Director, Dean or Regional Campus Dean, as applicable, makes a “final determination” along with a justification for the award(s) based on the criteria as established in the academic unit/campus handbook.

Thursday, January 1, 2015: Final determinations on the 60% allocated to the academic units/regional campuses completed. The final determinations of a department chair or school director shall be transmitted to the appropriate dean, along with a justification for the awards based on the criteria for Faculty Excellence Awards as established in the academic unit/campus section of the Faculty Handbook. As part of this transmission to the dean, the academic unit/regional campus should indicate whether each eligible faculty member applied for a Faculty Excellence Award, as requested on the spreadsheet provided by the Office of the Provost.

On or before February 17, 2015 Upon receipt of the “final determinations” from the previous level of review, Deans and Regional Campus Deans, as applicable, distribute the 40% discretionary pool. In Colleges with departments or schools, Deans distribute this 40% on a per capita basis to the department/schools before making individual awards. Deans and Regional Campus Deans will transmit final Faculty Excellence Awards directly to the Provost. Deans of Colleges without departments or schools, University Libraries and Regional Campus Deans will transmit final Faculty Excellence Awards directly to the Provost along with a justification for the awards based on the criteria for Faculty Excellence Awards as established in the academic unit/campus section of the Faculty Handbook. These transmissions should clearly indicate the breakdown on the 60% (along with the justification for the awards from the Chair/Director, Dean of a College without departments or schools, University Libraries or Regional Campus Dean and the Deans’ 40% discretionary allocations, as requested on the spreadsheet provided by the Office of the Provost.

Sunday, March 1, 2015: Faculty members are informed of the final Faculty Excellence Award determinations. The Awards are expected be included in the March 15th pay and retroactive to August 17, 2014.
FACULTY EXCELLENCE AWARDS
AY 2014-2015
(CBA Article XII, Section 3 and Section 4.C.2)

PROVOST
Distributes 100% of the FEA Pool to Deans and RC Deans
Per capita distribution

DEANS
Colleges with Departments & Schools

DEAN distributes 60% of the FEA pool to Departments & Schools on a per capita basis

CHAIR/DIRECTOR makes "preliminary determinations" after consultation with the FAC and the College Dean

Reconsideration Process

FAC reviews and makes recommendations on requests for reconsideration

CHAIR makes and forwards the "final determinations" to the DEAN

DEAN distributes the 40% discretionary pool which is allocated to Departments & Schools on a per capita basis

DEAN transmits final awards to the Provost's Office

DEANS
Colleges without Departments & Schools
University Libraries

DEAN requests recommendations from the CAC for 60% of the College's FEA pool

DeAN makes "preliminary determinations" after consultation with the CAC

Reconsideration Process

DEAN makes "final determinations" on 60% of the FEA pool and distributes the 40% discretionary pool

DEAN transmits final awards to the Provost's Office

REGIONAL CAMPUS DEANS

RC DEAN requests recommendations from the FC for 60% of the Campus' FEA pool

RC DEAN makes "preliminary determinations" after consultation with the FC

Reconsideration Process

RC DEAN makes "final determinations" on 60% of the FEA pool and distributes the 40% discretionary pool

RC DEAN transmits final awards to the Provost's Office
IV. COLLECTIVE BARGAINING AGREEMENT REFERENCES

From ARTICLE XII, Section 3. (Collective Bargaining Agreement, effective August 23, 2012)

Section 3. Faculty Excellence Awards – General Principles (Merit).

A. When provided for in this Agreement, the University will establish an additional salary pool for the purpose of recognizing documented Faculty Excellence in achievement, performance, and contribution.

B. Two broadly-defined areas of demonstrated Faculty excellence, consistent with the mission of the academic unit/campus and evaluative criteria and relative weighting defined in the academic unit/campus section of the Faculty Handbook, are to be recognized through Faculty Excellence Awards: (1) Teaching and University Citizenship, including student advisement and efforts in support of student recruitment and retention activities of the unit/campus, college, and/or University; and (2) demonstrated productivity and substantiated achievement in Research and/or Creative Activities.

C. When Faculty Excellence Awards are to be made, pools for this purpose shall be established separately for the Kent campus (the “Kent Campus pool”) and for the Division of Regional Campuses (the “Regional Campus pool”). In each year, the Kent Campus pool shall be equal to the designated percentage of the previous academic year’s base annual contract salaries of continuing members of the bargaining unit from the Kent campus. In each year, the Regional Campuses pool shall be equal in per capita amount for continuing members of the bargaining unit from the Division of Regional Campuses to the per capita amount calculated for continuing members of the bargaining unit from the Kent Campus by the application of the above formula.

D. The expectation is that fifty percent (50%) of the Kent Campus pools shall be used to support Faculty Excellence Awards in each of the two (2) areas of demonstrated achievement/substantiated positive contribution identified in Section 3. B. hereof. The expectation is that two-thirds (2/3) of the Regional Campuses pool will be used to support Faculty Excellence Awards recognizing contributions in (1) Teaching and University Citizenship, including campus, professional, and appropriate community service, and one-third (1/3) for (2) demonstrated productivity and substantiated achievement in Research and/or Creative Activities, including appropriate and substantiated professional development.

E. Procedures.

1. The Provost shall distribute the Kent Campus pool on a per capita basis to the colleges, independent schools, and University Libraries of the Kent Campus. The Provost shall distribute the Regional Campuses pool on a per capita basis to each of the regional campuses within the Division of Regional Campuses.

2. Sixty percent (60%) of the allocation shall be distributed on a per capita basis to each college, college without departments or schools, University Libraries or regional campus and shall be for the purpose of establishing Faculty Excellence Awards at the academic unit or regional campus level. For colleges with departments or schools on the Kent
the Dean shall allocate his/her 40% discretionary pool on a per capita basis to the academic units in the College before he/she makes his/her discretionary distributions from the pool.

4. The Deans of each College, Campus, and University Libraries, after consultation with their CAC or FC, will disseminate to the Faculty the criteria on which they will rely for awarding the portion of the Faculty Excellence Awards designated for their use.

5. At the departmental, independent school, academic unit without dependent departments or schools, and regional campus levels, preliminary assessment of materials submitted for evaluation will be made by the Faculty advisory body identified for that purpose according to the criteria in the academic unit/campus section of the Faculty Handbook. Following receipt of recommendations from the Faculty advisory body, the department Chair or independent school Dean, Dean of an academic unit without dependent departments or schools, or regional campus Dean will make a preliminary determination of Faculty Excellence Awards and will notify Faculty of the preliminary determination. A Faculty member will have the right to request reconsideration of the preliminary determination. This request will be considered by the Faculty advisory body, which will make a recommendation on the merits of the request to the department Chair or independent school Dean, Dean of an academic unit without dependent departments or schools, or regional campus Dean. The final determination of a department Chair or school director shall be transmitted to the appropriate dean, along with a justification for the awards based on the criteria for Faculty Excellence Awards as established in the academic unit/campus section of the Faculty Handbook. The final determination of a regional campus Dean, along with a justification for the awards based on the criteria for Faculty Excellence Awards as established in the academic unit/campus section of the Faculty Handbook, shall be transmitted to the Provost or his/her designee. The final determination of an independent school Dean or Dean of an academic unit without dependent departments or schools shall be transmitted directly to the Provost, along with a justification for the awards based on the criteria for Faculty Excellence Awards as established in the academic unit/campus section of the Faculty Handbook.

6. Upon receipt of final determinations from department Chairs in Colleges with departments and schools or from the appropriate faculty advisory body in Colleges without departments or school, University Libraries, or regional campus, the Deans of Colleges with departments and schools, Deans of Colleges without departments or schools, the Dean of University Libraries and the Regional Campus Deans, shall distribute Faculty Excellence Awards, including that portion of the Kent Campus pool or Regional Campuses pool designated for their use.

7. Procedures and timelines for determining Faculty Excellence Awards for any given year shall be conducted in accordance with guidelines issued by the Office of the Provost, following consultation with the Association. Criteria, performance expectations, and
academic unit/campus procedures for assessing Faculty Excellence shall be included in academic unit/campus section of the Faculty Handbook and communicated to the Faculty in advance of the submission of materials for review.

F. Faculty Excellence Awards will become part of the continuing bargaining unit member’s base annual contract salary in the academic year in which the Award is received. They will be added to the bargaining unit member’s salary after all other salary increments, including any necessary adjustments to meet minimum salary levels (floors), have been entered.

From ARTICLE XII, Section 4.C.2. (Collective Bargaining Agreement, effective August 23, 2012)

Faculty Excellence Awards. In addition to the above minimum standard base increment, additional salary pools equal to one and three-tenths percent (1.3%) of the base annual contract salaries for academic year 2013-2014 of continuing members of the bargaining unit shall be established at the Kent Campus and for the Regional Campuses for the purpose of recognizing documented Faculty excellence in achievement, performance, and contribution in accord with the principles set forth in Section 3 above. The availability of Faculty Excellence Awards for AY 2014-2015 is contingent on the total of State Subsidy of Instruction and Tuition and Fees, as reported in the University's audited financial statements, being at least as high in fiscal year 2014 as in fiscal year 2013. The period for which Faculty excellence is to be assessed is from August 19, 2013 through August 17, 2014, or for Faculty who entered the bargaining unit after August 19, 2013, from the effective date of appointment to a position in the bargaining unit of Kent State University through August 17, 2014. If Faculty Excellence Awards were not granted to the Faculty in AY 2013-14, the assessment period for awards will include the period referenced in Section 4.B.2 above. At each level of award as defined in Sections 3.E.2 and 3.E.3 of this Article (academic unit or campus and Dean), no more than a combined total of 50% of the Faculty in each academic unit/campus (rounded up) in both categories as described in Section 3.B. above shall receive an award. Department reviews shall be submitted to the Dean by January 1, 2015, and awards will be made by March 1, 2015 and will be retroactive to the beginning of the academic year.