

UNIVERSITY OF COLORADO AT COLORADO SPRINGS
DEPARTMENT OF MATHEMATICS

POLICIES, PROCEDURES AND CRITERIA FOR
REAPPOINTMENT, PROMOTION AND TENURE

APPROVED OCTOBER 15, 2004

I. Introduction

This document is meant to delineate departmental procedures and criteria regarding reappointment, tenure, promotion, and post-tenure reviews, as required by the *Standards, Processes and Procedures* document (Appendix A, *Laws of the Regents*) of the University of Colorado. The policies and rules governing Reappointment, Promotion and Tenure matters at the University of Colorado are found in Article 5 of the Laws of the Regents and in the Administrative Policy Statements titled "*Implementation of the Regent Policies on Tenure*" (Nov 11, 1982) and "*Procedures for Written Standards and Criteria for Pre-Tenure Faculty*" (July 1, 1993). The guidelines provided in this document are consistent with the system-wide policies as well as the Campus Policy 200-001 (Aug 16, 2004). Faculty members under review are encouraged to consult these documents for clarification on issues that may not have been fully addressed in the departmental document.

II. Primary Unit Evaluation Committee

Consistent with Appendix A of the Laws of the Regents, the Department of Mathematics shall form a Primary Unit Evaluation Committee (PUEC) from among its faculty members for the purpose of assisting the faculty of the department in making its recommendations on reappointment, tenure, promotion and post-tenure review for each candidate during an academic year.

The PUEC will be formed in the spring semester to consider all reappointment, tenure, promotion and post-tenure review actions for the following academic year. The committee will consist of at least three tenured faculty members from the department excluding the department chair, who will make a separate evaluation. The selection will be by vote of all tenure-track faculty members of the department. Faculty members who will review the candidate at later stages of the review process shall not serve on the PUEC. If the inclusion of a non-tenured faculty member on the committee is necessary, approval by the Dean of the College of Letters, Arts and Sciences (LAS) and the Vice-Chancellor for Academic Affairs of the University must be secured.

The PUEC will be responsible for obtaining the requisite materials for the year's reappointment, tenure, promotion and post-tenure reviews, and for adding these materials to each candidate's dossier. These materials should include but are not limited to the following:

- Department Policies, Procedures and Criteria for Reappointment, Promotion and Tenure (this document)
- Copies of all previous reappointment, promotion and tenure evaluations, votes and recommendations as outlined in the campus policy, if the candidate has previously undergone a personnel action. The Dean and/or the department Chair is responsible to provide these documents to the PUEC
- Copy of the letter soliciting evaluation letters from external reviewers
- External reviewers' evaluation letters (not required in post-tenure reviews)
- Student evaluation letters (if applicable)

Note that the materials listed above are in addition to those provided by the candidate. Materials that the candidate is required to provide in his/her dossier are listed in the Campus Policy 200-001 (Aug 16, 2004). The PUEC will review and evaluate each candidate in the three areas of teaching, research/creative work, and service according to the department guidelines set forth in this document and university policies. The committee will then provide a summary of its evaluation together with a recommendation for action to the Department of Mathematics. The department will make its decision on the personnel actions as described in Section II.

The PUEC will elect a Chair from among its members. It is the responsibility of the Chair of the PUEC to ensure that the candidate's dossier is completed, reviewed by the PUEC, and forwarded to the Dean's office in a timely fashion.

III. Departmental Decision on Reappointment, Tenure and Promotion

The Department of Mathematics will make its decision on the following personnel actions by vote of an appropriate group of tenured faculty members, including those on leave.

- i. In the cases involving reappointment, comprehensive pre-tenure review, appointment to continuous tenure, and promotion to Senior Instructor, all tenured faculty members are eligible to vote.
- ii. For promotion to Associate Professor or Professor, all tenured faculty members at the rank of Associate Professor and Professor are eligible to vote.
- iii. For post-tenure reviews, the PUEC will perform the evaluation in accordance with the system wide *Post-tenure Review Policy* (July 1, 1998) and Article 5.B.6 (B) of the *Laws of the Regents*. No faculty vote is necessary in this case.

Faculty members serving in the Dean's or Vice Chancellor's Review committees should note that they can not vote on a particular personnel action at the department level if they opt to vote on the case at one of the other review committees.

A department meeting consisting of the appropriate group of tenured faculty members will be convened to vote on each of the personnel actions mentioned above, except post-tenure reviews. The department vote must specify the number of faculty members eligible to vote for each personnel action as well as the actual vote. Split votes must be addressed by including an explanation of the reasons for the minority votes. Those voting in minority may write a separate report describing their evaluation of the candidate's dossier and points of disagreement with the majority.

The PUEC will report the department's decision and vote (including any explanations of the minority vote) in its recommendation letter. A copy of the PUEC recommendation letter will be forwarded to the Dean's Level Review Committee as part of the candidate's dossier. The chair of the PUEC will promptly notify the candidate of the committee's recommendation including the department vote and provide the candidate with a copy of the PUEC recommendation letter. However, there must be no identification of the external reviewers in this or any other communication with the candidate.

IV. Role of the Department Chair

The department chair is responsible for providing each candidate with a copy of this document as well as copies of the college, campus, and system wide policies during the first semester of appointment. The department chair will conduct a separate evaluation of the candidate according to the standards and criteria set forth in this document and university policies. The department chair's letter of recommendation must explain clearly and with evidence the reasons for its recommendation. The department chair will provide the

candidate with a copy of the recommendation letter, and will also include a copy to the candidate's dossier to be forwarded to the Dean's Level Review Committee.

V. External References

For certain personnel actions, the candidate will be asked by the PUEC to provide a list of names of external reviewers from which the committee will select individuals to solicit letters of evaluation. It is the candidate's responsibility to specify clearly his/her relationship to the external reviewers. The PUEC must ensure that co-authors, mentors, and former colleagues of the candidate do not constitute the majority of external references. The names and affiliations of external reviewers and their letters of evaluation are confidential, must not be divulged to the candidate, and are retained in the Office of Faculty Records. The PUEC will provide the external reviewers with a copy of this document (or relevant portions there of). External reviewers will be asked to address both the General Criteria for Standards and Quality as well as the Explicit Criteria for Reappointment, Promotion and Tenure.

1. Tenure and Promotion Review

The faculty member undergoing review will be asked to submit the names of six to eight individuals to serve as external reviewers in their particular personnel action. The PUEC will request evaluations from at least four of these individuals. At least seven individuals will be requested to provide an evaluation of the candidate's work.

2. Comprehensive Pre-tenure Review

The faculty member under review will be asked to submit the names of three or four individuals to serve as external referees. The PUEC will request evaluations from at least two of these individuals. At least four individuals will be requested to provide an evaluation of the candidate's work.

3. Reappointment

External review letters are not required for the first reappointment review.

4. Promotion to Senior Instructor

The candidate will be asked to submit the names of three or four individuals to serve as reviewers. These individuals need not be external to department. The PUEC will request evaluations from at least two of these individuals. At least four individuals will be requested to provide an evaluation of the candidate's teaching.

5. Post-tenure Review

External review letters are not required for post-tenure review.

VI. Annual Merit Evaluation and Performance Rating

The Annual Merit Evaluation and Performance Rating summary will be used, consistent with the Laws of the Regents and University policy, in the evaluation process for a particular personnel action. However, consistently *outstanding or exceeding expectations* annual merit performance shall not be the sole basis for tenure stated in the *Laws of the Regents* (Section 11.A.1 (F)). All faculty members are urged to review the Department of Mathematics *Annual Merit Evaluation Policies and Procedures* document (approved Sept 2, 2004). In case of post-tenure review, candidates with a single *below expectations* annual Performance Rating

in the five-year review cycle are required to plan and implement a Performance Improvement Agreement to remedy their problems. Faculty members who have received two *below expectations* Performance Ratings in their five-year post-tenure review cycle will have to undergo Extensive Review.

VII. Differentiated Workloads

Utilization of annual differentiated workloads in no way compromises standards governing the award of tenure and promotion. Therefore, faculty members should give careful considerations to their annual workload assignments in the years prior to tenure and promotion to associate professor or promotion to full professor. Guidelines for differentiated workload are documented in the Department of Mathematics *Workload Policy* document (April 13, 2004) and the university policy statement on *Differentiated Workloads* (July 1, 1989).

VIII. Standards of Quality

1. Introduction

The purpose of this section is to clarify, to the greatest extent possible, the factors that will enter into the decision making process of the Department of Mathematics when it considers a faculty member for reappointment, tenure and/or promotion. This section is intended to provide a framework for the criteria as set forth in the campus and system wide policies. It is incumbent upon all faculty members to become familiar with these policies.

2. General Criteria

Department recommendations for any personnel action for tenure-track and tenured faculty members will be primarily based on the candidate's record on each of the following endeavors: teaching, research/creative work, and service. Non-tenure-track faculty, which includes Instructors and Senior Instructors, are not normally expected to have research responsibilities. Therefore, personnel action decisions for non-tenure-track faculty will be primarily based on the candidate's contribution to the areas of teaching and service. Age shall not be considered a factor. The fundamental objective is to recognize the likelihood of high quality educational performance throughout the individual's career.

3. Research

The Mathematics Department considers published professional work to be the most important contribution in the area of research. Other significant contributions to research include the following: obtaining external research funding or other forms of research support, giving talks at conferences, and organizing and participating in professional meetings, workshops and research seminars.

In order to qualify for tenure and/or promotion, a candidate must consistently publish articles in refereed journals, and must have a sustained and active commitment to publication. Usually papers in refereed journals are preferred over papers in conference proceedings. Survey article will be classified to a large degree as "service to the profession". On the other hand, research monographs may represent substantial contributions in any or all of the categories of research, teaching, or service, depending on the nature of the work. Contributed and invited talks at conferences on mathematics and related fields are recognized research endeavors.

Several experts in the candidate's specific research area will be asked to write confidential letters assessing the quality and direction of the candidate's research at the time of reappointment or comprehensive review,

tenure, or promotion. It is helpful for the candidate to communicate regularly with leading researchers in his or her field.

A faculty member's research record is considered excellent when he/she has steadily maintained a productive research agenda including high quality publications in refereed journals, and continues other significant activity such as external grants funded, major invited talks given, or research awards or recognition received. Research performance is considered meritorious when the faculty member has a substantial publication record in refereed journals, and he/she continues to engage in other research activities such as conference talks or submissions of externally funded research proposals.

4. Teaching

The Department of Mathematics considers the quality and effectiveness of teaching to be the most important factor in the category of teaching. Significant aspects of the teaching effort include: developing or updating courses, use of technology and other innovative efforts to improve the quality of mathematics instruction, willingness to teach new, different, or various courses in order to improve the overall offerings of the department, and publishing of quality materials and/or textbooks related to teaching in mathematics. The annual scholarly report is an appropriate vehicle for documenting one's accomplishments in teaching (c.f. Sections IV & IX of the Scholarly Report). The data generated from the system wide Faculty Course Questionnaires are reviewed in assessing quality of teaching.

The importance of teaching at this university lies not only with individual efforts in the classroom, but also with group efforts in discussing methods and problems, designing curricula, etc. Issues related to teaching and curricula are discussed in periodically held meetings of the Department of Mathematics.

A faculty member's performance of teaching is considered excellent when he/she has made strong contributions to the teaching program of the department; demonstrated continued strong teaching performance, and his/her teaching has made an extremely strong positive impact on student learning. Teaching performance is considered meritorious when the faculty member has made significant contributions to the teaching program of the department; he/she has shown overall good teaching performance; and his/her teaching has shown substantial evidence of positive impact on student learning.

5. Service

Majority of activities under this category fall under one of the following headings:

- serving on department/college/campus/university committees or in some other administrative role
- refereeing and reviewing for mathematical journals or funding agencies
- writing survey articles about a mathematical field
- serving in mathematical professional organizations
- organizing conferences in mathematics or related fields
- community activities consistent with professional standing

A faculty member's service record is considered excellent when he/she has made important contributions to the department, college, university, mathematics community, or community at large in a professional role; and there exists indication of leadership or positive impact of service. A meritorious service record consists of solid contributions at some level within the department/college/university or the mathematics community.

IX. Explicit Criteria for Reappointment, Promotion and Tenure

1. Reappointment and Comprehensive Pre-tenure Review

For faculty members on the normal 3-2-2 schedule, the first reappointment review will be conducted at the beginning of the second year and the comprehensive reappointment review will be conducted at the beginning of the fourth year of initial appointment. To be considered for initial reappointment, the candidate's record

- i. must be judged as meritorious in research and teaching taken together, and satisfactory in service.
- ii. must exhibit strong potential for growth and accomplishment in each of the areas of teaching, research and service.
- iii. must provide clear evidence of scholarly development since the candidate's initial appointment.

To be considered for reappointment after the comprehensive pre-tenure review, the candidate's record

- i. must be judged as meritorious in the three areas of teaching, research and service taken as a whole, and meritorious in either teaching or research.
- ii. must indicate significant and continued growth and accomplishment in teaching, research, and service since the candidate's first reappointment review.
- iii. must demonstrate excellent promise in scholarship and in particular, extremely strong potential to be granted tenure.

Specific criteria in the areas of teaching, research and service to be considered in evaluating the candidate's qualifications for tenure and promotion, are listed in Attachment II.

2. Promotion from Associate Professor to Professor

Consideration of an Associate Professor for promotion to Professor is to be based on the individual's research, teaching effectiveness at both undergraduate and graduate level, and the scope of his or her educational and professional activities on and off campus. To be considered for promotion, the candidate's record

- i. must be judged to be excellent in research, teaching and service, taken as a whole.
- ii. must demonstrate that the candidate has established a distinguished reputation as an expert or scholar in his/her discipline.
- iii. must indicate substantial, significant, and continued growth, development, and accomplishment in teaching, research, and service since receiving tenure and promotion to Associate Professor.

Specific criteria in the areas of teaching, research and service to be considered in evaluating the candidate's qualifications for promotion, are listed in Attachment I.

3. Tenure and Promotion from Assistant Professor to Associate Professor

The review for promotion to Associate Professor should normally take place in conjunction with the tenure review. Only in exceptional circumstances, is a faculty member hired at a rank above Assistant Professor, but without tenure. To be considered for tenure, the candidate's performance

- i. must be judged as meritorious in each of the three areas of teaching, research and service, and excellent in teaching or research.
- ii. must indicate significant, and continued growth, development, and accomplishment in teaching, research, and service since the candidate's comprehensive pre-tenure review.

- iii. must demonstrate outstanding promise and in particular, the potential to be eventually promoted to Professor, if granted tenure.

Specific criteria in the areas of teaching, research and service to be considered in evaluating the candidate's qualifications for tenure and promotion, are listed in Attachment II.

4. Promotion from Instructor to Senior Instructor

According to the Laws of the Regents (Appendix A), the rank of Senior Instructor is awarded to those non-tenured faculty members who do not have the prerequisites for promotion to the rank of Assistant Professor, but who have special abilities, usually in teaching. To be considered for promotion from Instructor to Senior Instructor, the candidate's record, taken as a whole,

- i. must be judged as meritorious, and excellent in teaching.
- ii. must demonstrate substantial and significant teaching accomplishment at the undergraduate level.
- iii. must indicate the potential of continued excellence and innovations in teaching, and meritorious service consistent with the individual's professional capacity.

Specific criteria in the areas of teaching and service to be considered in evaluating the candidate's qualifications for promotion to Senior Instructor are listed in Attachment III.

X. Faculty Rights and Privileges

A candidate for reappointment, tenure, promotion or post-tenure reviews is entitled to specific rights and privileges in the review process. These are described in the Standards, Processes and Procedures document (Appendix A, Laws of the Regents) and Principles and Policies Related to Appointment, Reappointment, Promotion and Tenure section of the Faculty Handbook (www.cusys.edu/faculty/fac_handbook/index.html).

ATTACHMENT I

Specific Criteria for Promotion from Associate Professor to Professor

A. Teaching

- i. Effectiveness as a teacher in the classroom at both the undergraduate and graduate levels. This includes adopting efficient teaching styles appropriate to each classroom environment, motivating the students, and reacting with sensitivity to the students' responses.
- ii. Continued awareness of current developments in his/her field, and applying these to teaching through timely development of new courses and modernization of existing courses.
- iii. Active interest in student affairs and welfare, as well as effectiveness in advising, guiding, and counseling students, both on the undergraduate and the graduate levels.
- iv. Publications related to teaching, including textbooks, new teaching methods and aids.
- v. Initiative and effort in grant writing for teaching innovation and curricular development.

B. Research

- i. Quality and quantity of his/her research contributions, as evidenced by the record of high caliber, peer-reviewed publications.
- ii. Evaluation by recognized authorities outside the University of the candidate's national or international ranking in scholarly accomplishment.
- iii. Candidate's record in attracting undergraduate and graduate students, stimulating their research efforts, and promoting and directing significant thesis research.
- iv. Ability to initiate, develop and direct significant research projects.
- v. Initiative and success in attracting research funding.

C. Service

- i. Professional recognition outside the university community as evidenced by membership on significant professional and scientific committees, councils, boards, and review panels.
- ii. Development of major College facilities that contribute to research and teaching activities.
- iii. Participation and leadership in important faculty assignments and committees within the Department, College or University.
- iv. Outside industrial, governmental experience or K-12 activities to the extent that it contributes to the candidate's effectiveness as a faculty member.

It is not expected that an individual would rate highly on every point in each of these categories, given the spectrum of differences individual abilities, attitudes and preferences. However, the quality of the candidate's performance in regard to the listed items and the number of those in which he or she has proved successful should make for reasonable uniformity of judgment in considering promotion.

ATTACHMENT II

Specific Criteria for Reappointment and Comprehensive Pre-tenure Review OR Tenure and Promotion from Assistant to Associate Professor

A. Teaching

- i. Thorough knowledge of the subject matter of the courses taught by the candidate.
- ii. Keep courses up-to-date by incorporating new materials or by introducing new methods/approaches/technology.
- iii. Demonstrated ability to develop new courses at the undergraduate and/or the graduate level, or to make substantial revisions in old ones.
- iv. Enthusiastic teacher, accessible and willing to spend adequate time with students outside the classroom.
- v. Considered an effective teacher by students and/or peers.
- vi. Effectiveness in advising and counseling of both undergraduate and graduate students.

B. Research

- i. Vigorous research program.
- ii. Selection of research problems that are recognized as significant by experts in that field.
- iii. Publication of significant papers in the candidate's research area.
- iv. Research record of the candidate, in previous positions (e.g. postdoctoral) at other universities, if applicable.
- v. Candidate's scholarly reputation at other universities or industry.
- vi. Ability to develop new areas of research and show competence in them.
- vii. Candidate's record in seeking and attracting external funding for his/her research program.
- viii. In case of group or collaborative research, candidate's contribution toward the initiation and development of research projects.
- ix. Whether the candidate's areas of interest are consistent with the department's objectives.
- x. Candidate's record in attracting graduate students and directing their research work.

C. Service

- i. Willingness to cooperate with department colleagues in teaching, research, curricular development, and other academic activities.
- ii. Active participation in department, college or university activities intended to improve the quality of the university's program.
- iii. Participation in professional and outside activities intended to promote the development of the candidate's area of specialization, if the outside professional activities enable the candidate to keep up-to-date with the current developments in his or her area of specialization.

It is not expected that an individual would rate highly on every point in each of these categories, given the spectrum of differences individual abilities, attitudes and preferences. However, the quality of the candidate's performance in regard to the listed items and the number of those in which he/she has proved successful should make for reasonable uniformity of judgment in considering reappointment OR tenure and promotion.

ATTACHMENT III

Specific Criteria for Promotion from Instructor to Senior Instructor

A. Teaching

- i. Effectiveness as a teacher in the classroom, at the undergraduate level. This includes adopting efficient reaching styles appropriate to each classroom environment, motivating the students, and reacting with sensitivity to the students' responses.
- ii. Keeping his/her courses up-to-date by incorporating new materials or by introducing new methods/approaches/technology.
- iii. Demonstrated ability to develop new undergraduate courses and revision of existing courses.
- iv. Enthusiastic teacher, accessible to students, willing to spend adequate time to help students outside the classroom.
- v. Considered an effective teacher by students and/or peers.
- vi. Publications related to teaching, including textbooks, new teaching methods and aids.
- vii. Active interest in student affairs and welfare and effectiveness as a student advisor at the undergraduate level.

B. Service

- i. Active participation with his/her colleagues in curricular development and other pedagogical activities.
- ii. Development of facilities within the Department or College that contribute to teaching activities.
- iii. Participation in professional training and career development activities both inside and outside of the University.
- iv. Outside (e.g. K-12) activities to the extent that it contributes to the candidate's effectiveness as a faculty member.

It is not expected that an individual would rate highly on every point in each of these categories, given the spectrum of differences individual abilities, attitudes and preferences. However, the quality of the candidate's performance in regard to the listed items and the number of those in which he or she has proved successful should make for reasonable uniformity of judgment in considering promotion.