

Bylaws of the UCCS Department of  
Mathematics

Approved November 2018

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# Chapter 1

## Preamble

The UCCS Department of Mathematics strives for excellence in its diverse endeavors, including teaching, research, and service to our students, the University of Colorado, and the broader community.

The teaching activities of the department serve a wide range of students. Large numbers of students obtain basic college level mathematical skills in the general education classes. The department has an important service role, providing needed mathematical background for science and engineering students. Students majoring in mathematics may choose from several educational tracks, ranging from a general program for those studying mathematics to satisfy their intellectual curiosity, to more career-oriented programs for those pursuing careers in education or applied mathematics. The department also serves a population of graduate students, including those wanting a doctoral degree. The Department of Mathematics provides our undergraduate and graduate students with the problem-solving ability, critical thinking skills, and essential subject knowledge that will equip them for lifelong learning while enhancing their prospects for professional success. Whether students plan to be mathematics teachers, scientists, engineers, or leaders in business or government, a solid foundation of mathematics will serve them well throughout their professional lives.

Mathematics plays an essential role in education, science, engineering, business, and government. Advanced and newly developed mathematics is often used by engineers, physicists, geneticists, and computer security specialists. Among many new developments, technological advances in biology and life sciences, in the analysis of huge data sets, and in network modeling of large systems, are motivating new ideas in mathematics and its applications. The Department of Mathematics includes a community of professors who actively participate in the expansion of mathematical knowledge. These scholars use their research to enhance their expertise, improve their teach-

ing, guide advanced students, and extend our knowledge of foundational and applied mathematics.

These bylaws describe the basic administrative procedures used by the Department of Mathematics. These procedures include voting privileges, the formation and function of committees, and the role and election of the department chair. Policies affecting faculty working conditions, merit evaluation, and promotion are described in detail.

# Chapter 2

## Structure of the Department

### 2.1 Membership

The faculty of the Department of Mathematics consists of tenure-track faculty and instructors. For the purposes of this document these are defined as follows.

*Tenure-track faculty:* Faculty who are either tenured, or non-tenured but eligible to apply for tenure. These include faculty with ranks of Professor, Associate Professor, and Assistant Professor.

*Instructors:* Faculty with rank of Instructor or Senior Instructor, and whose employment contract is at least a half-time appointment.

By a vote of the department, or by direction of the dean of the college, other persons, such as the director of the mathematics center, may be invited to participate in selected activities of the department as a courtesy, because the rules of the university require additional tenure-track faculty of a certain rank, or for other administrative purposes.

Tenure-track faculty and instructors are voting members of the department with somewhat different voting privileges (see 2.2.1). They are entitled and expected to participate in department meetings to discuss issues important to the department, and to help draft department policies. Lecturers, part-time instructors with less than half-time appointments, staff, visitors, and other temporary residents in the department are not normally voting members of the department.

Tenure-track faculty normally have teaching, research, and service responsibilities. Permitted deviations from the normal obligations are discussed in the section on workload policies (see Chapter 3). Instructors normally have mainly teaching responsibilities, with limited service obligations. Research is not a job function for instructors. In some cases instructors may be asked to assume additional service responsibilities. Their teaching loads or finan-

cial compensation may be adjusted in such circumstances. Faculty, including instructors, may be appointed to the graduate faculty by the UCCS Graduate School. Graduate faculty, who are normally required to have a doctoral degree, may teach graduate courses.

## 2.2 Department Administration

The Department of Mathematics will have a chair who provides leadership and is responsible for the administration of the department. The chair's responsibilities include representing the department to the university administration, evaluating departmental personnel, preparing course schedules and teaching assignments, and administering the financial affairs of the department. Appendix 2 of the Laws of the Regents of the University of Colorado ([www.cu.edu/regents/laws-and-policies](http://www.cu.edu/regents/laws-and-policies)) and University of Colorado Administrative Policy Statement 1026 describe these responsibilities in more details. The chair will normally serve for three year terms. The duration of each term will normally begin from July 1. A candidate for chair of the department is nominated by the department following the chair election procedure (see 2.2.3).

The department chair should call and manage general meetings of the Department of Mathematics at least once per full month of the academic year. Tenure-track faculty and instructors are entitled and expected to attend meetings of the department, to participate in the discussion, and to vote, when appropriate, on departmental issues. Attendance and voting privileges may be extended to other persons by a vote of the department, or by direction of the dean of the college.

The department may delegate some of its functions to committees, for the purposes of making recommendations to the department, or other personnel, to assist the chair in matters of administration. For example, when the department employs a substantial number of lecturers, i.e., teaching staff from outside the department, then the chair may appoint a coordinator of lecturers. The role of the coordinator of lecturers is to hire, train, and oversee the lecturers.

## **2.2.1 Voting in the Department**

Faculty in the Department of Mathematics vote on changes to department policies, changes to the curriculum, election of the department chair, election of department committee chairs and members, recommendations for hiring of new faculty, and matters of reappointment, promotion, tenure, and post-tenure review. Voting privileges differ somewhat based on faculty rank or graduate faculty status. As a general principle, faculty voting privileges are aligned with faculty working conditions and responsibilities. Decisions of the department must be consistent with college, campus, and University of Colorado (CU) system policies, and support the orderly operation of the department.

When the department votes, a simple majority (i.e., strictly greater than 50%) of those eligible to vote shall decide the question. If the vote is tied, or those voting in favor do not constitute a majority of the eligible voters, no decision on the question will have been made, and the previous status will be maintained. The department may however, by a simple majority of the eligible faculty, temporarily adopt a different voting procedure to decide a question.

In cases when the appropriate voting eligibility is unclear, and a majority of the department fails to agree on the appropriate eligibility, the department chair shall determine voting eligibility. Faculty members who hold full-time administrative positions outside the department may elect to be considered ineligible to vote in the department. However, they may reverse their decisions at any time. They should keep the department chair informed of their status.

### **Department Policies**

Graduate faculty may vote on policies related to graduate education. Tenure-track faculty may vote on policies related to research and other matters primarily affecting tenure-track faculty. All faculty may vote on the portions of the department bylaws applicable to them, on issues of undergraduate education, and on other broadly applicable department procedures.

### **Curriculum**

All faculty may vote on matters of undergraduate curriculum. Graduate faculty may vote on matters of graduate curriculum.



## **Chair Election**

Any tenured faculty member in the department is eligible to be a candidate for the position of department chair. For the purposes of selecting a department chair, all faculty are eligible to vote.

## **Committee Chairs and Membership**

Guided by the department's voting policies, eligible faculty may vote in committee chair and membership elections. In particular, all faculty may vote for the undergraduate committee chair and membership, while all graduate faculty may vote for the graduate committee chair and membership (see 2.2.2).

## **Hiring of New Faculty**

All faculty may vote on recommendations for hiring of new instructors. Tenure-track faculty may vote on recommendations for hiring of new tenure-track faculty.

## **Faculty Reappointment, Promotion, and Tenure**

Voting on matters of tenure-track faculty reappointment, promotion, tenure, and post-tenure review is limited to the Primary Unit Evaluation Committee (PUEC) (see 5.2.2).

### **2.2.2 Department Committees**

While respecting the role of the department chair as prescribed by the Regents of the University of Colorado, certain aspects of the administration of the department will be delegated to committees or committee chairs. Committees are normally staffed by tenure-track faculty. In cases when instructors are appointed to serve on a committee, those instructors will enjoy full voting privileges in the committee.

The department will have an undergraduate committee to assist with undergraduate student and education matters, and a graduate committee to assist with graduate student and education matters. The department will form a Primary Unit Evaluation Committee whenever reappointment, promotion, tenure or post-tenure reviews for tenure-track faculty are required.

When the department is searching for new faculty, a search committee will be formed, with responsibilities as delegated by the department. Other committees may be formed by the department chair, or by a vote of the faculty.

Where matters of department policy, curriculum, or faculty hiring are concerned, the role of the committees is to recommend matters to the department, which makes the decisions.

The department chair is ultimately responsible for seeing that the committees carry out their functions in an effective manner. Consequently, the department chair may assign or reassign committee responsibilities if necessary.

### **Committee Elections**

Candidates for the position of chair of a department committee will normally be nominated by the department chair, but candidates may also be self-nominated or nominated by other faculty members. Eligible faculty will vote on the appointment of committee chairs. Committee chairs, in consultation with the department chair, will propose a slate of candidates for committee memberships. After consideration of amendments by department members, eligible faculty will vote on the appointment of committee members.

The Primary Unit Evaluation Committee (see 5.2.2) has a distinct process defining committee membership and committee chair election.

The undergraduate and graduate committee chairs and members will normally serve for three years before a new nomination and confirmation by the department. Committee elections will normally take place during the spring semester.

### **Undergraduate Committee**

The undergraduate committee will consider policy and curriculum issues related to undergraduate mathematics degree programs, minors, and courses. As needed, the committee will make recommendations to the Department of Mathematics. The committee will be responsible for advising undergraduate mathematics majors or minors. The chair of the undergraduate committee, or designated members of the committee, will assist the department chair with issues facing undergraduate students.

## **Graduate Committee**

The graduate committee will consider policy and curriculum issues related to graduate mathematics degree programs and courses. The chair of the committee will also serve as the Program Director of all graduate degree and certificate programs of the department. As needed, the committee will make recommendations to the Department of Mathematics. In particular the graduate committee will manage development, administration, and grading of departmental examinations of the graduate students. The committee will determine if graduate students are making satisfactory progress toward their degrees, and make related recommendations to the department chair. The committee will be responsible for recruiting and advising graduate students in the department. The chair of the graduate committee, or designated members of the committee, will assist the department chair with issues facing graduate students.

## **Faculty Search Committee**

When the Department of Mathematics has a faculty position to fill, a faculty search committee will be formed. The committee will be responsible for advertising the position appropriately, reviewing the applications, and selecting a group of promising candidates to recommend to the department. Only tenure-track faculty will serve in the search committee for a tenure-track position. All faculty may serve in an instructor search committee. All voting members of the department are entitled to review applications and to make recommendations independent of those of the committee. Decisions about which candidates to consider as finalists and which candidates to recommend to the dean of the college will be made by a vote of the eligible members of the department.

### **2.2.3 Chair Election Procedure**

All faculty members of the Department of Mathematics are eligible to vote in the department chair elections.

(1) During the semester immediately preceding the conclusion of the existing chair's appointment, the chair shall circulate the document "Roles and Responsibilities of Department Chairs" (Appendix 2 of the Laws of the Regents, and CU Administrative Policy Statement 1026) to all department

members.

(2) The existing chair shall issue a call for nominations for individuals to be considered as candidates for the next department chair. This call for nominations will be in written form, and will go out to all members of the department. Any tenured faculty member is eligible for nomination. Self-nominations are permitted.

(3) If the existing chair has not been nominated or is not willing to serve another term, then the existing chair shall determine each nominee's willingness to serve. If the existing chair has been nominated and is willing to serve as chair for another term, then the department will select, by a simple majority vote, a non-nominated tenured member to act as the chair selection coordinator. The chair selection coordinator will then determine each nominee's willingness to serve.

(4) A ballot of candidates, consisting of all those nominees who are willing to serve as department chair, shall be distributed to all department members.

(5) If there are no nominees who are willing to serve, then a department meeting shall be held to determine an appropriate course of action.

(6) Prior to the department vote, candidates will have the opportunity to discuss their candidacies at a department meeting or through a position paper, if they so choose.

(7) Voting shall be by a secret ballot. An election period shall be defined in such a way as to give all faculty members sufficient opportunity to vote.

(8) It is the responsibility of all department faculty to vote in a chair election. The department secretary shall maintain a list of those faculty who have voted.

(9) At the close of the established election period, the ballots shall be counted by the existing chair (if he or she is not standing for reappointment) or the chair selection coordinator (in the alternative case), together with the department secretary.

(10) The following procedures shall be followed in order to determine the winner of the election.

(i) If there is only one candidate, the election will be held as a vote of confirmation. The ballot will read:

-- I support the nomination of candidate XXX.

-- I do not support the nomination of candidate XXX.

If a simple majority of all department faculty votes in support of the nomination, then the candidate shall be declared the department's nominee for chair.

Otherwise, a department meeting shall be held to determine an appropriate course of action.

(ii) If there are two candidates, then the candidate receiving votes of a simple majority of the department faculty, shall be declared the department's nominee. Otherwise, there will be another round of balloting with the same two candidates' names appearing on the ballot. If this second round of balloting again fails to decide a nominee, then both candidates' names will go to the dean of the college. The dean will select the nominee.

(iii) If there are three or more candidates, then any candidate who receives the votes of a simple majority of the department faculty shall be declared the department's nominee. If no candidate receives votes from a majority of department faculty, then a ballot containing the top two candidates from the first election shall be distributed, and an election will be conducted as described in paragraph (ii).

(11) The name of the department nominee, along with all election results, shall be forwarded to the dean of the college.

(12) If the dean does not concur with the department faculty's recommendation, the dean will meet with the department faculty to discuss his or her reasons for disagreement.

(13) The campus chancellor will approve appointments of department chairs.

# Chapter 3

## Workload Policy

### 3.1 Introduction

Normally, tenure-track faculty are involved in a mixture of teaching, research, and service. The instructor workload is predominantly teaching, with a light load of service. Research is not part of the instructor workload.

#### 3.1.1 Teaching

The teaching load for tenure-track faculty with an undifferentiated workload is at most 15 semester hours per academic year. The teaching load for a full-time instructor with an undifferentiated workload is at most 24 semester hours per academic year. Exceptions to these teaching workloads may be made by mutual agreement between the faculty member and the department chair.

Courses are most commonly taught during the fall and spring semesters, but by mutual agreement between the faculty member and the chair it is possible to count summer courses, taught without additional compensation, toward the teaching load.

Faculty may teach courses with more or less than 3 semester hours of credit. They may also be called upon to prepare new courses or to significantly modify existing ones. Appropriate workload accounting for these efforts will be determined by the chair in consultation with the faculty member.

Faculty may also be involved in teaching independent study courses, or in supervising student theses. Teaching 9 semester hours of independent study involving undergraduate or graduate research, including thesis supervision, or a specialized graduate course, will be considered equivalent to teaching a 3 semester hour regular course. For all other types of independent

study courses, 18 semester hours of teaching will be considered equivalent to teaching a 3 semester hour regular course. However, no more than 3 regular semester hours of coursework may be substituted in this manner in any given academic year.

### **3.1.2 Differentiated Workload**

There are times when faculty may need to devote a greater amount of time than usual to a particular area among teaching, research, and service. In such situations a faculty member may be eligible for a differentiated workload, which redistributes the effort devoted to those areas. The differentiated workload and its duration must be agreed upon by the faculty member and the department chair, and approved by the appropriate administrators. The propriety of the differentiated workload assignment should be carefully considered by the faculty member and the department chair so as not to adversely affect subsequent annual assessment and personnel actions. Differentiated workloads must be consistent with the individual faculty needs (e.g., career development and promotion), the department's program needs, the goals of the college and campus, and the university's mission. When a differentiated workload is approved, any subsequent annual assessment and personnel actions of faculty must appropriately consider the assigned workload. The overall contributions of faculty on differentiated workloads are expected to be comparable with those of faculty on normal workloads. The normal workload allocation for tenure-track faculty is 40% teaching, 40% research, and 20% service; and for instructors it is 95% teaching and 5% service.

### **3.1.3 Offloads**

There is a variety of circumstances in which the chair may approve a reduction of the normal teaching load for faculty, subject to review by the dean. Examples of such situations include significant extra effort in administrative, grant, or service work. In the instances specified in the sections on research and service below, the chair will approve the relevant reductions unless they are made infeasible by funding constraints or departmental planning requirements.

## **Research**

The Department of Mathematics encourages its faculty to pursue funding to support their research activities through grants and contracts. To the extent allowed by the funding entity, faculty members can reduce their teaching load by a certain amount and at an appropriate rate, which are to be negotiated with the university administrators. Faculty members with substantial external grants that do not provide adequate funding for course offloads (e.g., NSF), will be eligible for an offload of 3 semester hours of coursework per academic year. Newly hired tenure-track faculty, with no research grants, will also be eligible for an offload of 3 semester hours of coursework per academic year, to support their research activities before they receive tenure. Such offloads should be granted only after the expiration of any course offloads negotiated by the faculty with the college or campus at the time of hire.

Except for course buyouts specifically negotiated with the university administration, course offloads will be restricted to 3 semester hours of coursework in any given academic year for faculty research activities.

## **Service**

Faculty members may be eligible for offloads when they are devoting a significant amount of their time to service and administration. In particular, the department chair will receive an offload of 9 semester hours of coursework per academic year, including any offload provided by the college. The graduate and undergraduate committee chairs, and the coordinator of lecturers will each be eligible for an offload of 3 semester hours of coursework per academic year.



# Chapter 4

## Annual Merit Evaluation

### 4.1 Introduction

This chapter delineates the UCCS Department of Mathematics guidelines and criteria for the annual merit performance evaluations of its faculty, as required by Article 5.B.6(A) of the Laws of the Regents and the CU Administrative Policy Statement 5008. A performance evaluation is a comprehensive process that begins with the identification of job responsibilities and agreement on goals and objectives, and which concludes with an assessment of performance. A performance rating is a summary derived from the evaluation process. Further information regarding CU policies on merit performance ratings, salary, and compensation can be found in the Laws of the Regents (Article 11.A), Regent Policies (Section 11B), and the CU Faculty Handbook (Compensation and Leave Section).

### 4.2 Basic Procedure

(1) The chair of the department will evaluate the performance of each faculty member based on the faculty member's activity during the previous calendar year. Evaluations will be completed according to the criteria specified in this document, consistently with the contractual obligations of each faculty member.

(2) In general, the chair will evaluate each faculty member based on the normal workload allocations described in 3.3.1. Specifically, for tenure-track faculty the normal workload allocation is 40% teaching, 40% research, and 20% service; while for instructors it is 95% teaching and 5% service. However, in applying these weights, the chair should exercise some flexibility, to adequately account for the overall contributions of an individual faculty

member in a given calendar year. Exceptions to the above guidelines are to be made only in the following situations.

(i) Faculty who hold previously negotiated differentiated workload allocations will be evaluated using the appropriate weighting system of the agreement (see Chapter 3).

(ii) Faculty who hold additional administrative appointments should negotiate with the chair and other involved individuals (e.g., dean, provost), at the time the administrative appointment begins, how annual merit evaluations will be conducted. This includes faculty who might serve in campus administrative positions, as well as faculty who serve as department chair for some, but not all, of the annual merit review period under consideration.

(iii) Faculty who hold less-than-full-time appointments will be evaluated according to the terms of their appointments, and should negotiate with the chair in advance how their annual merit evaluations will be conducted.

(3) The chair will fill out the relevant evaluation form provided by the college for each faculty member under evaluation.

(4) The chair's evaluation will be based on documents for the year under review, including, but not limited to, the following.

(i) Annual Faculty Activity Report, as required by UCCS.

(ii) Faculty Self-Evaluation Form, provided by the college.

(iii) Faculty Course Questionnaire (FCQ) summaries.

(iv) Annual Workload Form (for instructors only).

(v) Any supporting documents<sup>1</sup> which help to clarify or explain the information given in the Annual Faculty Activity Report. These may include indications of significant time spent in various service activities and impact on student learning, such as teaching innovations or information gleaned from FCQs. For tenure-track faculty, these may also include information about research work which otherwise goes unrecorded, such as efforts in projects which are in various stages of development, the strength of a specific journal, or importance of a specific conference invitation.

(5) If the chair uses in the evaluation process documents not supplied by the faculty member, then the chair must indicate this, together with an appropriate rationale, and provide copies of said documents to the faculty member.

(6) The chair will provide a copy of the written evaluation well in advance of submitting it to the dean, for the following reason. The chair may meet

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<sup>1</sup>Faculty are encouraged to consult 5.6 for specific examples.

with a faculty member to discuss his or her performance. This meeting may be requested by either the chair or the faculty member. After the meeting, the chair will inform the faculty member of any changes made to his or her evaluation, in a timely manner, before submitting it to the dean.

## **4.3 Situations of Part Time Residence**

These are situations in which a faculty member is not in full-time residence for the entirety of the year under review.

### **4.3.1 One Semester of Residence**

These are situations in which a faculty member is in full-time residence for only one semester of the year under review. This includes, for example, faculty who are on sabbatical or leave for one of the semesters under review, and also includes new faculty in their first year in the department. In these situations it is incumbent on the faculty member to arrange in advance how the faculty member will be evaluated. Typically the faculty member's annual evaluation will be based on his or her performance during the in-residence semester, extrapolated to the entire year. In addition, faculty can supplement this assessment process by submitting any germane work completed during the absence.

### **4.3.2 No Full Semester of Residence**

If a faculty member is on sabbatical for the entire calendar year, then he or she will be evaluated on the work completed during the assignment. If the faculty member is on a non-sabbatical assignment of duty elsewhere, or on leave, then he or she should negotiate in advance with the chair and the dean how the annual merit evaluation will be conducted.

## **4.4 Merit Rating Guidelines**

Each faculty member will receive a comprehensive evaluation rating, according to the CU system-wide policy, of "outstanding", "exceeding expectations", "meeting expectations", or "below expectations". The comprehensive rating will be determined by a weighted average of merit ratings in each

of three areas: teaching, research, and service, for tenure-track faculty; and each of two areas: teaching and service, for instructors. Each merit rating is intended to indicate a range of performance. The chair may elect to assign a numerical scale for each of the ratings. However, the chair should, to the greatest extent possible, make an effort to be uniform and systematic about how each faculty member's performance is evaluated, in order to ensure a fair evaluation process.

The list of qualifying activities against each merit rating provided below is intended as a guideline for the chair to follow while assigning these ratings in teaching, research, and service. Only one qualifying activity in each rating category is sufficient to earn that specific rating. If a faculty member provides evidence of multiple qualifying activities in a given rating category, then the chair may at his or her discretion assign a higher merit rating. The list is by no means exhaustive. The chair at his or her discretion may take into account other comparable qualifying activities in each category.

## Teaching

*Outstanding:* documented very positive FCQ results; documented very positive comments regarding teaching effectiveness from students; documented very positive peer evaluations of teaching; other evidence of very strong positive impact on student learning; creation and successful implementation of a substantially new (to the department) course; receiving a significant teaching award; publication of a textbook or other teaching materials.

*Exceeding expectations:* documented positive FCQ results; documented positive comments regarding teaching effectiveness from students; documented positive peer evaluations of teaching; other evidence of significant positive impact on student learning; successful teaching of a new (to the faculty member) course; substantial revision of an existing course; participation in teaching conferences and workshops; giving an undergraduate independent study course; supervising a graduate thesis; voluntarily taking on extra teaching duties to help the department.

*Meeting expectations:* performance of standard teaching duties without substantial problems; evidence of positive impact on student learning.

*Below expectations:* lack of willingness to teach courses needed by the department; documented problems with teaching.

## Research

*Outstanding:* a publication in an extremely prestigious journal in the faculty member's area of expertise; two or more publications in high-quality refereed journals in the faculty member's area of expertise; funding of an external grant; receiving a significant research award.

*Exceeding expectations:* a publication in a high-quality refereed journal in the faculty member's area of expertise; two or more publications in refereed journals or conference proceedings; funding of an internal grant; positive reviews of an external grant proposal; delivering a major invited talk; successful completion of supervision of a graduate research thesis; other evidence of substantial research work.

*Meeting expectations:* a publication in a refereed journal or conference proceedings; a positive referee's report on a paper submitted to a high-quality journal; submission of a grant proposal; delivering talks at conferences and other universities; successful completion of supervision of an undergraduate research thesis; other activity intended to result in publications.

*Below expectations:* little or no research activity of any kind.

## Service (for Tenure-Track Faculty)

*Outstanding:* organization of a major conference; maintaining a leadership role in the department, college, university, or a professional society; membership on the editorial board of a high-quality journal; membership in several committees at different levels; receiving a significant service award.

*Exceeding expectations:* organizing a small conference or a session in a larger conference; refereeing or reviewing a significant number of papers or grant proposals; membership in at least two committees at different levels; substantial administration; notable community outreach; active mentoring of lecturers and student teachers; curricular development designed to improve departmental programs; activities that aid the graduate program but are different from normal graduate committee functions, such as contributing problems to and grading graduate examinations, serving as faculty advisors for graduate presentations or MSc papers; very active participation in departmental activities.

*Meeting expectations:* refereeing or reviewing papers or grant proposals; membership in committees; attendance and active participation in department meetings.

*Below expectations:* limited service and contributions.

### **Service (for Instructors)**

*Outstanding:* membership in a significant committee; substantial administration; active mentoring of lecturers and student teachers; curricular development designed to improve departmental programs; activities that aid the graduate program but are different from normal graduate committee functions, such as contributing problems to and grading graduate examinations, serving as faculty advisors for graduate presentations or MSc papers; receiving a significant service award.

*Exceeding expectations:* membership in a committee; mentoring of lecturers and student teachers; notable community outreach; active participation in departmental activities.

*Meeting expectations:* attendance and active participation in department meetings.

*Below expectations:* little or no service.

The final annual performance rating from the dean will be placed in the faculty member's personnel file and is subject to disclosure under the Colorado Open Records Act. Faculty members should note that according to the Laws of the Regents (Article 11.A.1(F)), consistently "outstanding" or "exceeding expectations" annual merit performance ratings, on their own, shall not be sufficient for tenure or promotion.

# Chapter 5

## Reappointment, Promotion, and Tenure

### 5.1 Introduction

Standards and processes for reappointment, promotion, and tenure of faculty are governed by Article 5 and Appendix 1 of the Laws of the Regents. These are further delineated in CU Administrative Policy Statement 1022. Campus guidance is supplied in UCCS Policy 200-001. These documents require the establishment of departmental criteria which are to be used throughout the review process.

In the event that a department policy is judged to be in conflict with the Laws of the Regents or with Regent Policies ([www.cu.edu/regents/laws-and-policies/](http://www.cu.edu/regents/laws-and-policies/)), the latter shall apply.

These criteria are to be considered guidelines for the review of candidates toward reappointment, promotion, and tenure in the Department of Mathematics. The criteria are based on appropriate and current standards of professional performance in our discipline. Each candidate's case will be reviewed and judged on its individual merits and circumstances. The department is committed to quality teaching, strong research, and effective service to the university, the profession, and the community. The evaluation process is based on several assumptions: (1) possession of an appropriate terminal degree; (2) competent education and training in the discipline(s); (3) conduct which reflects the professional and academic standards for generating, validating, disputing, and transmitting knowledge; and (4) an appreciation of and respect for the rights, duties, and privileges associated with academic freedom and collegial responsibilities.

In addition to establishing departmental criteria, this document is meant to help individual faculty members become conscious of the factors which

influence and direct the department in its decisions regarding reappointment, tenure, promotion, and post-tenure reviews. Each faculty member should utilize the department chair or other campus resources for clarification on issues or procedures that may not have been fully addressed in this document.

## **5.2 Department Roles and Responsibilities**

### **5.2.1 Role of the Department Chair**

The department chair is responsible for providing each faculty member 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 chair is also responsible for making recommendations to the dean regarding personnel actions for instructors, such as promotion to Senior Instructor.

### **5.2.2 Primary Unit Evaluation Committee**

Consistent with Appendix 1 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 making recommendations on reappointment, tenure, promotion, and post-tenure review for each tenure-track candidate during an academic year.

#### **Formation**

The department chair will convene the PUEC in the spring semester to consider all reappointment, tenure, promotion, and post-tenure review actions for the following academic year. The committee will generally consist of all tenured faculty members of the Department of Mathematics. However, faculty members who are not in residence for the entirety of the year of review (e.g., those on sabbatical leave) may recuse themselves from the PUEC. Deviation from the above PUEC membership rule will require approval by the dean of the college.

#### **Responsibility**

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.

(1) Department Policies, Procedures, and Criteria for Reappointment, Tenure, and Promotion (this document).

(2) 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 for providing these documents to the PUEC.

(3) External reviewers' evaluation letters, if applicable.

(4) Student evaluation letters, if applicable.

(5) PUEC recommendation letter and report of the vote of the eligible members of the Department of Mathematics on the candidate's personnel action.

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 or her dossier are listed in the campus policy. The committee will review and evaluate each candidate's dossier according to the department, college, and university policies consistent with the guidelines provided in Appendix 1 of the Laws of the Regents; and will provide a summary of its evaluation and recommended action to the Department of Mathematics. Additional procedural matters are described below (see 5.2.3).

The PUEC will provide the external reviewers with relevant portions of this document. 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. These are described below (see 5.3 and 5.4).

### **Chair of PUEC**

The PUEC will elect a chair from among its members in the spring semester. It is the responsibility of the chair of the PUEC to ensure that the candidate's dossier is reviewed and forwarded to the dean's office in a timely fashion. The PUEC chair is also responsible for providing the candidate with a copy of the committee's recommendation letter. However, there must be no identification of the external reviewers in this or any other communication with the candidate. A copy of the recommendation letter is forwarded to the Dean's Review Committee as part of the candidate's dossier.

### 5.2.3 Voting in PUEC

Votes of the PUEC are held for cases involving reappointment, comprehensive review, appointment to continuous tenure, and promotion to Associate Professor or Professor.

For post-tenure reviews, the PUEC will perform the evaluation in accordance with Campus Policy 200-016, CU Administrative Policy Statement 1022, and Article 5.B.6 (B) of the Laws of the Regents. No faculty vote is necessary in this case. A PUEC member undergoing post-tenure review shall not participate in the post-tenure review for another PUEC member in the same academic year.

A PUEC member shall not be part of any discussions or deliberations, and shall not vote, in the case of his or her own personnel action. A PUEC member must have the rank of full Professor in order to vote on the promotion to full Professor. PUEC members serving in the Dean's or Vice Chancellor's Review Committees shall not deliberate or vote on a particular personnel action at the department level if they opt to vote on the case in one of the other review committees.

The PUEC will be convened to vote on each of the personnel actions mentioned above, except post-tenure reviews. The vote will be recorded, and the record 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.

The PUEC will report its votes and recommendations (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 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 vote, and provide the candidate with a copy of the PUEC recommendation letter.

## **5.3 Standards of Quality for Research, Teaching, and Service**

### **5.3.1 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, or promotion. It is incumbent upon all faculty members to become familiar with the contents of this document, as well as the guidelines governing reappointment, promotion, and tenure matters found in Article 5.B of the Laws of the Regents and CU Administrative Policy Statement 1022.

### **5.3.2 General Criteria**

Department recommendations for any personnel action for a tenure-track faculty member will be primarily based on the candidate's record in each of the following endeavors: teaching, research, and service. Instructors are not normally expected to have research responsibilities. Therefore, personnel action decisions for an instructor will be primarily based on the candidate's contribution in the areas of teaching and service.

When these criteria are applied to faculty who were granted time toward tenure, the work performed during the years granted toward tenure shall be considered equivalent to work performed at UCCS. While a faculty member's career record will be considered in personnel actions described here, the main emphasis of evaluation will be on work performed at UCCS, including progress since the last review.

### **5.3.3 Research**

The Department of Mathematics considers peer-reviewed, published professional work to be the most important contribution in the area of research. Other contributions to research include the following: obtaining external research funding or other forms of research support; publishing research monographs, survey articles, and non-refereed research articles; supervision of theses; giving talks at conferences; and participating in professional meetings, workshops, and research seminars.

In order to qualify for tenure or promotion, a candidate must consistently publish refereed articles. Usually refereed publications are preferred to non-refereed publications, and original research articles are preferred to survey articles. 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, 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 or she has steadily maintained a productive research agenda, including high quality refereed publications. Other indicators of excellence include 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 refereed publication record, and he or she continues to engage in other research activities, such as giving conference talks or submitting externally funded research proposals.

### **5.3.4 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 or textbooks related to teaching in mathematics.

For all departmental reviews, the candidate's teaching shall be evaluated by multiple means, which will include FCQs and two other means of evaluation. More details are provided in the Attachments (see 5.6).

The importance of teaching at this university lies not only in individual efforts in the classroom, but also in 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 or she has made strong contributions to the teaching program of the department; demonstrated continued strong commitment to teaching and learning; and his or 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 or she has shown strong commitment to teaching and learning; and his or her teaching has shown substantial evidence of positive impact on student learning.

### 5.3.5 Service

A majority of the service activities of the faculty fall into the following categories:

- (1) serving as chair of the department, or in another campus administrative role;
- (2) serving on department, college, campus, and university committees;
- (3) actively participating in department meetings;
- (4) curricular development;
- (5) refereeing and reviewing for mathematical journals or funding agencies;
- (6) serving in mathematical professional organizations;
- (7) organizing conferences in mathematics or related fields;
- (8) community activities consistent with professional standing.

A faculty member's service record is considered "excellent" when he or 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 to the department, college, university, or the mathematics community.

When reviewing a candidate's service record for promotion to Senior Instructor, it must be appropriately taken into account that an instructor's normal workload allocation consists only of 5% service.

## 5.4 Criteria and Procedures for Faculty Reviews

This section describes the processes and specific criteria adopted by the Department of Mathematics for each personnel action. Note that the first six subsections of 5.4 apply only to tenure-track faculty, while the last subsection (5.4.6) applies only to instructors.

### 5.4.1 Reappointment Review

The candidate's total record, including teaching, research, and service, shall be evaluated. No specific rating in each area is required, but the record must show sufficient potential for future success to justify reappointment. The candidate is expected to demonstrate a well-designed research plan, the potential for continued development as a researcher, and progress toward publication. At this stage, the candidate is expected to be involved in departmental meetings and activities. External review letters are not required for the reappointment review.

Specifically, to be considered for reappointment, the candidate's record must

- (1) be judged as "meritorious" in research and teaching taken together, and show progress toward "meritorious" service;
- (2) exhibit strong potential for growth and accomplishment in each of teaching, research, and service;
- (3) provide clear evidence of scholarly development since the candidate's initial appointment.

Specific criteria in the areas of teaching, research, and service to be considered in evaluating the candidate's qualifications for reappointment, are listed in Attachment II (see 5.6.2).

### 5.4.2 Comprehensive Review

The candidate's record in teaching, research, and service will each be evaluated separately as "below expectations", "meritorious", or "excellent". The candidate must demonstrate sufficient progress toward tenure to justify reappointment.

The PUEC must obtain an evaluation of the candidate's work from at least three external referees. For that purpose, the PUEC will request evaluations from at least five external referees. The faculty member under review will be asked to submit the names of three or four individuals to serve among these external referees. Normally the external referees selected by the PUEC will include at least two of those suggested by the faculty member under review.

To be considered for reappointment after the comprehensive review, the candidate's record must

- (1) be judged as "meritorious" in teaching, research, and service, taken as a whole, and "meritorious" in either teaching or research;
- (2) indicate significant and continued growth and accomplishment in teaching, research, and service since the candidate's reappointment review;
- (3) demonstrate excellent promise in scholarship and 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 during a comprehensive review are listed in Attachment II (see 5.6.2).

### **5.4.3 Promotion to Associate Professor and Awarding of Tenure**

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.

The candidate's record in teaching, research, and service will each be evaluated separately as "below expectations", "meritorious", or "excellent". The candidate must be rated as at least "meritorious" in all three areas and must receive a rating of "excellent" in either teaching or research.

The PUEC must obtain an evaluation of the candidate's work from at least four external referees. For that purpose, the PUEC will request evaluations from at least seven external referees. The faculty member under review will be asked to submit the names of six to eight individuals to serve among these external referees. Normally the external referees selected by the PUEC will include at least four of those suggested by the faculty member under review.

To be considered for tenure, the candidate's performance must

(1) be judged as "meritorious" in each of teaching, research, and service, and "excellent" in teaching or research;

(2) indicate significant and continued growth, development, and accomplishment in teaching, research, and service since the candidate's comprehensive review;

(3) demonstrate excellent promise and, in particular, the likelihood of promotion to Professor in due course, 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 (see 5.6.2).

#### **5.4.4 Promotion to Full Professor**

The candidate's record in teaching, research, and service will be evaluated as a whole as "below expectations", "meritorious", or "excellent". Promotion requires a record that, taken as a whole, is judged to be "excellent"; a record of significant contribution to both graduate and undergraduate education, unless individual or departmental circumstances require a stronger emphasis or singular focus on one or the other; and a record, since receiving tenure and promotion to associate professor, that indicates substantial, significant, and continued growth, development, and accomplishment in teaching and working with students, research, scholarship, and service.

Substantial, significant and continued growth, development, and accomplishment as a teacher since tenure must be demonstrated through such activities as development of new and revised curricula, new pedagogical techniques, participation in professional development, work with students outside the classroom, and other teaching activities, such as those in Attachment I (see 5.6.1).

Substantial, significant and continued growth, development, and accomplishment as a researcher since tenure must be demonstrated through refereed publications, research grants, and other research activities, such as those listed in Attachment I (see 5.6.1). Exceptional quality of scholarly work may be considered to raise an evaluation in cases where the quantity is less.

The PUEC must obtain an evaluation of the candidate's work from at least four external referees. For that purpose, the PUEC will request evaluations from at least seven external referees. The faculty member under review will be asked to submit the names of six to eight individuals to serve among



these external referees. Normally the external referees selected by the PUEC will include at least four of those suggested by the faculty member under review.

To be considered for promotion, the candidate's record must

(1) be judged to be "excellent" in research, teaching, and service, taken as a whole;

(2) demonstrate that the candidate has established a distinguished reputation as an expert or scholar in his or her discipline;

(3) 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 (see 5.6.1).

#### **5.4.5 Post-Tenure Review**

A faculty member undergoes post-tenure review (PTR) every five years after receiving tenure, except when interrupted by a promotion review, or pursuant to a Performance Improvement Agreement. Promotion serves to re-start the PTR clock. Faculty who have achieved an annual performance rating of "meeting expectations" or higher since either receiving tenure or the last PTR, will undergo a Regular Five-Year Review.

In a Regular Five-Year Review, the PUEC will examine the five previous annual performance evaluation reports, teaching evaluations, the curriculum vitae, the faculty member's professional plan(s) from that PTR cycle, and an updated professional plan for the next five-year cycle. The PUEC shall provide an overall evaluation of the faculty member's performance as "outstanding", "exceeding expectations", "meeting expectations", or "below expectations", based on his or her accomplishments in teaching, research, and service. External review letters are not required for post-tenure review.

To be granted a rating of "meeting expectations" during a post-tenure review, the candidate is expected to have

(1) achieved a rating of "meeting expectations" or higher on each of the annual merit reviews during the relevant time period;

(2) accomplished goals that are consistent with his or her current professional plan;

(3) submitted an acceptable professional plan, which would likely lead to ratings of “meeting expectations” or higher in future reviews.

If a faculty member fails to meet the standard above, the committee may still grant a rating of “meeting expectations” if an examination of the total record of the faculty member during the review period reveals strengths in some periods or activities that compensate for the deficiency. Ratings of “exceeding expectations” or “outstanding” may be awarded for exceeding the standard for “meeting expectations”.

In accordance with Campus Policy 200-016 and CU Administrative Policy Statement 1022, faculty who receive an annual performance rating of “below expectations” at any time during the five-year PTR cycle are required to plan and implement a written Performance Improvement Agreement (PIA) to remedy their problems, in consultation with the department chair. If the goals of the PIA have been met, as evidenced in the next annual merit evaluation after the term of the PIA, the faculty member continues in the current review cycle for PTR. A faculty member who has either received two “below expectations” annual performance ratings, or whose PIA did not result in an evaluation of “meeting expectations” or better during the five-year PTR cycle, must undergo an Extensive Review by the PUEC, instead of the regular PTR. Details of the PIA and Extensive Review are explained in the CU Administrative Policy Statement 5008.

#### **5.4.6 Promotion to Senior Instructor**

An Instructor is eligible to apply for promotion to Senior Instructor in the fifth year of service as an Instructor, if he or she achieved a rating of “exceeding expectations” or higher in four of the previous five years’ annual merit reviews.

The candidate provides an official request to the department chair, who then initiates the process. The candidate submits a dossier and a list of four individuals, to provide evaluations of the candidate’s teaching, to the chair. The chair requests evaluations from at least four individuals, including at least two from the list provided by the candidate. The chair must obtain an evaluation of the candidate’s teaching from at least two individuals.

Based on the evidence provided by the candidate, the teaching evaluation letters, and the criteria listed below, the chair provides a recommendation to the dean, along with the candidate’s dossier. The dean will make the final decision regarding promotion and will inform the candidate and the

department chair.

To be considered for promotion from Instructor to Senior Instructor, the candidate's record must

(1) taken as a whole, be judged as "meritorious", and "excellent" in teaching;

(2) demonstrate substantial and significant teaching accomplishment at the undergraduate level;

(3) indicate the potential for 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 (see 5.6.3).

## **5.5 Faculty Rights and Privileges**

A candidate for reappointment, tenure, promotion, or post-tenure review is entitled to specific rights and privileges in the review process. These are described in Appendix 1 of the Laws of the Regents, and the Principles and Policies Related to Appointment, Reappointment, Promotion, and Tenure Section of the CU Faculty Handbook ([www.cu.edu/oaa/faculty-affairs/faculty-handbook](http://www.cu.edu/oaa/faculty-affairs/faculty-handbook)).

## **5.6 Attachments**

### **5.6.1 ATTACHMENT I Specific Criteria for Promotion from Associate Professor to Professor**

#### **Teaching**

(1) 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.

(2) Continued awareness of current developments in the candidate's field, and applying these to teaching through timely development of new courses and modernization of existing courses.

- (3) Active interest in student affairs and welfare, as well as effectiveness in advising, guiding, and counseling students, both at the undergraduate and the graduate levels.
- (4) Publications related to teaching, including textbooks, new teaching methods, and aids.
- (5) Initiative and effort in grant writing for teaching innovation and curricular development.

### **Research**

- (1) Quality and quantity of the candidate's research contributions, as evidenced by a record of high caliber, peer-reviewed publications.
- (2) Evaluation by recognized authorities outside the university of the candidate's national or international ranking in scholarly accomplishment.
- (3) Candidate's record in attracting undergraduate and graduate students, stimulating their research efforts, and promoting and directing significant thesis research.
- (4) Ability to initiate, develop, and direct significant research projects.
- (5) Initiative and success in attracting research funding.

### **Service**

- (1) Participation and leadership in important faculty assignments and committees within the department, college, or university.
- (2) Membership in significant professional and scientific committees, councils, boards, and review panels.
- (3) Development of programs or facilities within the department or college that contribute to research or teaching activities.
- (4) Outside industrial, governmental, or K-12 activity that 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 in individual abilities, attitudes, and preferences. However, the quality of the candidate's performance in regard to the listed items should be substantial.

## **5.6.2 ATTACHMENT II Specific Criteria for Reappointment and Comprehensive Review OR Tenure and Promotion from Assistant to Associate Professor**

### **Teaching**

- (1) Thorough knowledge of the subject matter of the courses taught by the candidate.
- (2) Keeping courses up-to-date by incorporating new materials or by introducing new methods, approaches, or technology.
- (3) Demonstrated ability to develop new courses or to make substantial revisions in old ones.
- (4) Accessibility and willingness to spend adequate time with students outside the classroom.
- (5) Teaching effectiveness, as judged by students and peers.
- (6) Effectiveness in advising and counseling of both undergraduate and graduate students.

### **Research**

- (1) Quality of research program.
- (2) Selection of research problems that are recognized as significant by experts in the candidate's field.
- (3) Publication of significant papers in the candidate's research area.
- (4) Research record of the candidate in previous positions (e.g., postdoctoral) at other universities, if applicable.
- (5) Candidate's scholarly reputation at other universities or in industry.
- (6) Ability to develop new areas of research and show competence in them.
- (7) Candidate's record in seeking and attracting external funding.
- (8) In cases of group or collaborative research, candidate's contribution toward the initiation and development of research projects.
- (9) Candidate's record in attracting graduate students and directing their research work.

## **Service**

- (1) Willingness to cooperate with department colleagues in teaching, research, curricular development, and other academic activities.
- (2) Active participation in department, college, or university activities intended to improve the quality of the university's programs.
- (3) Participation in professional and outside activities intended to promote the development of the candidate's 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 in individual abilities, attitudes, and preferences. However, the overall quality of the candidate's performance in regard to the listed items should be substantial.

### **5.6.3 ATTACHMENT III Specific Criteria for Promotion from Instructor to Senior Instructor**

#### **Teaching**

- (1) Effectiveness as a teacher in the classroom, at the undergraduate level. This includes adopting efficient teaching styles appropriate to each classroom environment, motivating the students, and reacting with sensitivity to the students' responses.
- (2) Keeping courses up-to-date by incorporating new materials or by introducing new methods, approaches, or technology.
- (3) Demonstrated ability to develop new undergraduate courses and revise existing courses.
- (4) Accessibility and willingness to spend adequate time to help students outside the classroom.
- (5) Teaching effectiveness, as judged by students and peers.
- (6) Publications related to teaching, including textbooks, new teaching methods, and aids.
- (7) Active interest in student affairs and welfare, and effectiveness as a student advisor at the undergraduate level.

#### **Service**

- (1) Active participation with department colleagues in curricular development and other pedagogical activities.

- (2) Development of facilities within the department or college that contribute to teaching activities.
- (3) Participation in professional training and career development activities, both inside and outside of the university.
- (4) Outside (e.g., K-12) activity that 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 in individual abilities, attitudes, and preferences. However, the overall quality of the candidate's performance in regard to the listed items should be substantial.