

Appendix A – Primary Unit Criteria for Tenured/Tenure-Track Faculty

Governing Rules and Policies:

1. Regent Policy 5D: Reappointment (to a tenure-track position), Tenure and Promotion
2. Administrative Policy Statement 1022: Standards, Processes and Procedures for Reappointment, Tenure, Promotion, and Post-tenure Review
3. Campus Administrative Policy 1004: Reappointment, Tenure and Promotion Review

A.1 – Primary Unit Criteria for Reappointment Review

The principal purpose of a reappointment review is to evaluate the candidate’s progress toward tenure. The reappointment review provides internal and external feedback to improve the record for the tenure case. If there is not a realistic prospect for a successful tenure review, then the candidate should not be reappointed. Additionally, the program requirements of the department shall be considered at the time of reappointment.

A.2 – Primary Unit Criteria for Tenure and Promotion to Associate Professor

Per Regent Policy 5D, (5D.2.A.) “Tenure may be awarded only to faculty members with demonstrated meritorious performance in each of the three areas of: teaching (or librarianship), scholarly/creative work, and leadership and service (to the university, profession and/or public); and demonstrated excellence in either teaching, or scholarly/creative work.”

A.2.i – Teaching

Tenure-track faculty members are expected to effectively teach their assigned courses and to participate in mentorship and training of students outside the classroom. A *meritorious* rating in teaching requires that the candidate be at least *meritorious* both in classroom teaching and in mentorship and training of students according to the criteria detailed below. An *excellent* rating requires *excellence* in both categories. Other teaching-related activities and accomplishments may further strengthen the case for *excellence*.

Per Regent Policy 5.D, (5D.2.B.) “A recommendation for tenure based on excellence in teaching shall include multiple measures of teaching evaluation and demonstrated achievement at the campus, local, national, and/or international level which furthers the practice and/or scholarship of teaching and learning beyond one’s immediate instructional setting.”

The *excellent* rating will be given to those candidates who demonstrate truly superior commitment to and success in teaching. Such candidates are thought of as outstanding teachers who exceed the *meritorious* performance standards and who are recognized by both students and faculty as having a significant impact on teaching at CU Denver and beyond. Impact beyond one’s own instructional setting can be demonstrated in a wide variety of ways. The overall key is demonstrating and providing evidence of positive impact on teaching beyond one’s own instructional setting. Some examples include, but are not limited to,

- Presentations or workshops external to the department advancing the practice of teaching or mentoring (e.g., through the Center for Excellence in Teaching and Learning, at professional conferences, or at workshops focused on mentoring or on teaching and learning);
- Publishing on teaching and learning or mentorship in a respected outlet (e.g., peer or editorial-reviewed journal or newsmagazine of a professional society);
- Authorship of textbooks, curricular materials (including software or technology-based applications) or other educational materials that have been adopted by a significant number of other instructors (e.g., revising or creating curricular materials that are adopted by instructors at the campus level or beyond);
- Mentoring of external students;
- Guest lectures in classes at other institutions;
- Serving on curriculum or other teaching-focused committees or task forces of professional organizations or other external bodies.

Classroom Teaching: Classroom teaching is understood as planning, preparation, instruction, and assessment of students in regularly assigned courses including online courses.

- Meritorious: A *meritorious* rating requires a consistent record of effective teaching in assigned undergraduate and graduate courses. Teaching a variety of courses can help strengthen the case for a *meritorious* rating. Characteristics of effective teaching include competence in the material taught; quality course design consistent with the course description; satisfactory student evaluations and peer reviews; effective organization and use of class time; thoughtful student assessment through suitable assignments and timely feedback; availability, accessibility and helpfulness during office hours; respectful treatment of all students; a fair and consistent grading scheme; and compliance with any other department, college and university policies.
- Excellent: An *excellent* rating requires a sustained record of highly effective classroom teaching, which is generally characterized by many of the following: strong student learning; high-quality instructional practices, assignments, course organization and content; ability to adapt teaching styles to reach students at all levels in a variety of situations; high levels of classroom interaction; successful implementation of innovative teaching techniques; and high student satisfaction.

Mentorship and Training: Mentorship and training of students is understood as dedicated support of their professional development. This includes supervision of or collaboration with students in honors projects, Master's projects or theses, or Ph.D. dissertations. It also includes more general student training through independent studies, readings courses, industrial or other internships, modeling competitions, summer workshops, or mentorship or training of teaching assistants.

- Meritorious: A *meritorious* rating requires a record that demonstrates dedication and ability to effectively work with students outside the classroom.
- Excellent: An *excellent* rating requires a strong record of successfully working with multiple students and demonstrated readiness to supervise doctoral students. Other indicators, which may strengthen the case for *excellence* include student research awards; successful placement of students in competitive positions in academia, industry, or government institutions; and joint publications with a clear contribution from students as lead or co-authors.

Additional Indicators of Excellence in Teaching: Additional indicators that may strengthen the case for *excellence* in teaching include teaching awards; general curriculum development; the design of new courses; outreach to public schools and teachers; educational work with other organizations; publications related to the general scholarship and the practice of teaching and learning; and educational grants.

A.2.ii – Scholarly/Creative Work

Pre-tenured faculty members are expected to develop an active research program and to publish their work in high-quality refereed journals. For the purpose of tenure, Scholarly/Creative Work is understood as impactful advancement of mathematical or statistical theory and/or methodology. This includes development or novel application of mathematical or statistical theory and/or methodology.

To earn tenure, a candidate must have produced a sustained record of accomplishment in the mathematical and statistical sciences that is of sufficient quantity and quality to demonstrate that

1. the candidate has established a productive research program with a clear plan of sustained research productivity after tenure;
2. the candidate's work is of high quality and is respected by leading scholars;
3. the candidate has become an independent researcher who has grown substantially beyond the PhD.

The candidate's scholarly/creative work record is considered *meritorious* if it satisfies the above three criteria. It is considered *excellent* if, in addition, it demonstrates that

1. the candidate has built a strong reputation and is well-known in his/her field; and
2. the candidate has established a strong research program producing impactful results.

To satisfy the above criteria, the overall contribution, visibility, significance, and impact of the research will be judged as a whole. The following evidence will be used to assess the scholarly/creative work record.

1 Quantity and quality of refereed publications.

- a. The number of quality publications should be sufficient to establish that the productivity of the candidate's research program compares favorably with that of other researchers with similar training and experience in their field. Papers in conference proceedings will be considered for this purpose only if they are rigorously refereed and of journal quality. Papers published prior to employment at CU Denver will be considered for this purpose, provided the candidate maintains a high level of productivity at CU Denver; however, greater emphasis will be given to work produced at CU Denver.
- b. In cases of co-authorship, the weight of the candidate's contributions relative to the other collaborators will be considered.
- c. To demonstrate independence, a significant component of the record should consist of
 - i) publications with several different researchers or research groups, ii) papers co-authored only with students, or iii) single-authored papers.

2 External review letters. External review letters from leading scholars in the candidate's field are required to assess how the candidate's research record is perceived and how the candidate's impact and productivity compares with the impact and productivity of other researchers in their field at a similar stage of their career at institutions similar to CU Denver.

3 Grant activity. External research funding provides strong evidence of the quality and potential impact of the research and that the candidate's research record is well respected. Strong reviews of unfunded proposals will also be considered. The role of grants and proposals will be evaluated in light of the criteria set by the funding agencies and in the calls for proposals, as well as the success rate.

4 Other indicators of excellence. The following evidence may strengthen the case for *excellence* by providing additional indicators of quality, impact, or reputation: citations of research results; honors and awards; invitations to visit other institutions or to speak at important conferences, particularly invited plenary lectures; the use of one's work in the academic, public, or private sectors; or significant professional service activities indicating a strong reputation (e.g. membership on respected editorial boards).

A.2.iii – Leadership and Service

For tenure, a *meritorious* rating in leadership and service is characterized by

1. solid service to the Department as an involved and conscientious faculty member, including attendance at faculty meetings, service on committees, and overall competent execution of assigned responsibilities; and
2. some professional service (e.g., refereeing or reviewing papers, organizing special sessions or panels at conferences).

The *excellent* rating will be given to those candidates who additionally demonstrate impact and broad involvement in leadership and service at the department, college, campus, or system level or in professional service.

A.3 – Primary Unit Criteria for Promotion to Professor

Per Regent Policy 5D, 5D.3.C, are as follows: “To be promoted to the rank of Professor (also referred to as “Full Professor”), an individual should have the terminal degree appropriate to their field or its equivalent, and: (1) A record that, taken as a whole, may be judged to be excellent; and (2) A record of significant contribution to graduate and undergraduate education, unless individual or departmental circumstances can be shown to require a stronger emphasis, or singular focus, on one or the other; and (3) A record since receiving tenure or promotion to Associate Professor that indicates substantial, significant, and continued growth, development, and accomplishment in teaching (or librarianship), scholarly/creative work, and leadership and service.”

Promotion to full professor is based entirely on demonstrated continued growth and accomplishment, not potential. The overall criterion is leadership, becoming an individual looked to by others, which constitutes a substantial step beyond the expectations for tenure. An important part of the stature of a full professor is the ability to set one’s own goals and to reach them at a level that will be acknowledged by peers, internally and externally, as representative of professional excellence and leadership.

For an individual granted tenure after some service as an untenured associate professor, the record during the entire period as an associate professor is considered.

Different individuals will attain or exceed *excellence* in different areas, as they compile “a record that, taken as a whole, is judged to be excellent.” The standard applies to teaching, scholarly/creative work, and leadership and service as a whole, so that required or sufficient criteria in any one area cannot be specified. Ratings as excellent in all three areas (teaching, scholarly/creative work, leadership and service) are not required. For example, teaching that goes

beyond *excellent*, to truly outstanding, could be combined with scholarly/creative work that falls a bit below *excellence* and service that shows strong leadership to make a successful case for promotion; as another example, the analogue with teaching and scholarly/creative work reversed could also occur. In such considerations, teaching and scholarly/creative work each carry greater weight than leadership and service. As a guide, it is appropriate to discuss what could contribute to *excellence* in each area in the view of the Department of Mathematical and Statistical Sciences.

Teaching: At the full professor level, *excellence* in teaching is typically demonstrated by *excellence* in Classroom Teaching and *excellence* in Student Mentorship and Training. The full professor criteria for excellence in Classroom Teaching, the criteria for excellence in Student Mentorship and Training, and the “Additional Indicators of Excellence in Teaching” are similar to those at the tenure level. Regent Policy 5.D, (5D.2.B), which applies only to a recommendation of tenure based on excellence in teaching, does not apply. Instead, for an excellent rating, either contributions in student mentorship that go beyond the tenure level criteria or an impact beyond one’s own instructional setting are expected. Factors other than classroom teaching and student mentorship can also contribute to establishing a record of *excellence*. For example, strong contributions to the teaching mission of the department through curriculum development; design of new courses; educational grants; publications related to the scholarship and practice of teaching and learning; or outreach to public schools might offset a record that falls slightly below *excellent* in one of the two criteria.

Scholarly/Creative Work: For the promotion to Full Professor, Scholarly/Creative Work is understood as impactful advancement of mathematical or statistical theory and/or methodology. This includes development or novel application of mathematical or statistical theory and/or methodology. To demonstrate *excellence* at the full professor level in scholarly/creative work, the overall issue is evidence of a strong scholarly reputation, in which one’s work has impact in one’s field and is cited, used, or built upon by others. This represents leadership in research. Very strong letters from leading scholars are necessary and especially important. Publications in highly respected outlets are also necessary, on a sustained, long-term basis. Other indicators can provide additional evidence of *excellence*, such as high productivity, high rates of citations by other researchers, use of one’s work in the academic, public, or private sectors, invitations to speak at important conferences, significant external funding, honors and awards, and other visible professional activities, e.g., membership on respected editorial boards, organization of major conferences, and invitations to visit other research institutions.

Leadership and Service: For *excellence* in leadership and service, the most important achievement in a general sense is self-initiated leadership that makes significant contributions to the department, college, campus, and/or system; and being an individual looked to by others for

guidance. This may take the form of major responsibilities in the department, substantial roles on committees at higher levels, and so on. Also important are leadership roles in the professional community, such as officer in a professional society, organizer of a conference, member of an editorial board, and professional service to community organizations; and outreach to the Denver community, including civic duties related to mathematics and science education.

A.4 – Amendments

These primary unit criteria may be amended by a two-thirds written vote of all tenured and tenure-track faculty members followed by approval by the Dean of CLAS followed by approval of the Provost. Faculty members on sabbatical or on leave will not be counted unless they opt to cast a vote. The vote cannot be taken until one week after debate has ended on the proposed amendments.