

**Departmental Policies for Reappointment, Promotion, and Tenure of Tenure-track Personnel**  
**Department of English**  
**College of Arts and Sciences**  
**University of Colorado, Boulder**  
**Version 3/1/2012**

The Department of English explains by means of this policy statement the procedures and standards that it will use in evaluating tenure-track personnel for reappointment, tenure, and promotion. This statement complies with the Laws of the Board of Regents section entitled "Appointment, Reappointment, Tenure, and Promotion Criteria and Standards for Tenure-Track and Tenured Faculty" (Section 5.B.5), the Board of Regents Policy entitled "Reappointment (to a tenure-track position), Tenure, and Promotion" (Policy 5-M), and the Board of Regents Administrative Policy Statement entitled "Standards Processes and Procedures for Appointment, Reappointment, Tenure and Promotion (Appendix A of the Laws of the Regents)."

**1. Laws and Policies of the Regents.**

The Laws and Policies of the Regents define the basic requirements for reappointment, tenure, and promotion. These basic requirements cannot be overridden or superseded by departmental rules or interpretations. The purpose of the departmental evaluation is to apply the general standards of performance in teaching, research, and service to the disciplines that are represented within the Department of English.

The University requires comprehensive review prior to a mandatory tenure decision. According to the Laws and Policies of the Regents, the comprehensive review involves full consideration of all credentials in teaching, research or creative work, and university service and public service, and can, if negative, result in the rejection of a faculty member for renewal of appointment. The question to be considered by the Department and by administrative review committees for the comprehensive review is whether the candidate is making satisfactory progress toward tenure.

According to the Policies of the Regents, the award of tenure, which is typically concurrent with promotion to associate professor, requires that a faculty member must have demonstrated meritorious performance in each of the three areas of teaching, research or creative work, and university service and public service, and have demonstrated excellence in either teaching, or research or creative work. The standards of performance that apply to faculty on the seven-year tenure clock apply to faculty who come up for early tenure.

Promotion to the rank of full professor requires, according to the Policies of the Regents, that professors should have the terminal degree appropriate to their field or its equivalent and (a) a record that, taken as a whole, is judged to be excellent; (b) a record of significant contribution to both 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 (c) a record, since receiving tenure and promotion to associate professor, that indicates substantial, significant, and continued growth, development, and accomplishment in teaching, research or creative work, and service.

**2. Allocation of Effort.**

Each faculty member has a specific allocation of effort to teaching, research, and service. The standard allocation for the Department of English is 40% teaching, 40% research or creative work, and 20% service. This allocation will be assumed to apply unless specific, formal agreements are made to the contrary; any such agreements must be reported to the Dean and must be in accord with the Department's Differentiated Workload Policy Statement. The allocation of effort will be considered to apply as an average over the months of any given academic year.

### 3. Evaluation of Teaching, Research and Creative Work, and Service.

a. *Teaching.* In the first year after being appointed to a tenure-track position, faculty should create a teaching portfolio that will contain all written records pertaining to teaching. The portfolio will be used as evidence in the evaluation of teaching. The Department may obtain evidence from other sources to the extent that the information contained in the portfolio is incomplete with respect to any of the criteria identified below. Undergraduate and graduate teaching are both important in evaluation of credentials.

(i) *Undergraduate teaching.* No single measure of effectiveness in undergraduate teaching will be the sole basis of judgment by the Department. Criteria to be used in the evaluation of achievement in undergraduate teaching include:

1. statements of teaching philosophy or self-evaluation of teaching;
2. faculty course questionnaire scores from all classes;
3. peer evaluation (by class visits or other mechanisms);
4. examples of course outlines, syllabuses, assignments, examinations, and other items that indicate the nature of instruction;
5. descriptions of the development or improvement of coursework;
6. written statements that may have come from the Chair or others concerning willingness to teach, rapport with students, important contributions to curriculum development, or other related matters;
7. advising services to undergraduate students;
8. independent study or independent research or creative projects involving undergraduate students;
9. activities promoting faculty-student interaction.

In addition, a faculty member may submit, or the Department may consider at its own initiative, other evidence of teaching performance that seems appropriate for a particular individual.

(ii) *Graduate teaching.* As the only public Ph.D.-granting department in the state of Colorado, the UCB Department of English fulfills an important regional and national mission. All faculty members are expected to participate in the graduate program. Faculty members should maintain, as part of their teaching portfolios, records of their graduate teaching contributions: courses taught, comprehensive examination and dissertation committees, dissertations directed, independent studies, and so on. Such records are considered as evidence of achievement in teaching.

Faculty members may request that the Chair arrange a peer evaluation that will assist them in making improvements in teaching prior to evaluation. Other mechanisms for consultation on teaching include the Faculty Teaching Excellence Program and the Presidential Teaching Scholars consultation program. Faculty members are not required to use these mechanisms of self-improvement but are encouraged to do so.

The question to be considered by the Department in its evaluation of teaching is as follows: is the faculty member's demonstrated performance in teaching consistent with the general standard for reappointment, promotion, or tenure as described by the Laws and Policies of the Regents?

b. *Research or Creative Work.* Achievement in research or creative work is an important component of the Department's evaluation of faculty members who are under review for reappointment, promotion, or tenure. As a means of facilitating the evaluation, faculty members should maintain a record of their activity in research or creative work.

Publication is the most important criterion for departmental evaluation of research or creative work. Peer review of research or creative work prior to publication, whatever the medium of

dissemination appropriate to the research or creative work in question (print, non-print media, or performance), will be considered especially significant. Published work should show evidence of originality and importance. Editorial work is considered as evidence of research to the extent that it involves original scholarship by the candidate. The Department will form its own judgment as to the quality of the candidate's publications but will also take into account such considerations as range, amount, regularity, variety, and venue of publication (e.g., the reputation of the publication venue and the stringency of the peer review process). Invited expert contributions to symposia, journals, and edited collections, extramural support for research and creative work, and major awards and prizes will also be considered significant. Other types of publications will be considered but may be given less weight. Examples are: translations, textbooks, anthologies, exhibitions, items for popular media, and edited collections of scholarship or creative work. In addition, evidence of research and creative work may include public lectures and readings, book reviews, conference organization and participation, work as referee of publications or research proposals, and proposals for future research and creative projects.

A second important criterion for evaluation of research is the candidate's national or international reputation for achievement in research or creative work. For the purposes of tenure or promotion review, the Department will gather evidence of reputation from authoritative reviewers external to the University; these will include some individuals from a list provided by the candidate for evaluation and some individuals who are selected independently by the departmental evaluation committee rather than by the candidate.

In addition to the foregoing, a candidate may submit, or the Department may consider, other evidence of achievement in research or creative work that seems appropriate to a particular individual's case for promotion, reappointment, or tenure.

The question to be considered by the Department in its evaluation of research or creative work is as follows: is the faculty member's performance in research or creative work consistent with the general standard for reappointment, promotion, or tenure as described by the Laws and Policies of the Regents?

- c. *Service.* A candidate's record of support of academic programs in the Department is an important criterion for evaluation of service. However, evaluation of service can also extend well beyond the Department to include the candidate's work on campus committees, on college committees, or in professional societies. Criteria related to service also include the extent of editorial service and manuscript review for professional journals or professional societies, or professional services to the nation, the state, or the public. All service is evaluated with regard to its importance and its success, as well as the faculty member's dedication to it.

Evidence related to service will consist of a description of the service and of its duration and significance. This information should be compiled on a continuous basis by candidates for promotion, reappointment, or tenure. At the time of evaluation, evidence of service may be obtained from the candidate, from the Department, or from external sources.

The question to be considered by the Department in its evaluation of service is as follows: Is the faculty member's performance in service consistent with the general standard for reappointment, promotion, or tenure as described by the Laws and Policies of the Regents?

#### **4. Timetable for Reappointment, Promotion, and Tenure.**

The timetable for mandatory comprehensive and tenure reviews is not specific to the Department but is governed by the Laws and Policies of the Regents.

Individuals who are hired as beginning assistant professors will have at least one evaluation for reappointment prior to a mandatory tenure decision. The last reappointment prior to a tenure decision must be based upon comprehensive evaluation. A standard pattern is for an assistant professor to

receive an initial four-year appointment and, upon positive comprehensive review at the end of this first appointment, to receive a second appointment that extends to the mandatory tenure decision. Different patterns for the timetable for comprehensive review are specified in the letter of appointment at the time of hiring.

Tenure review is required by the end of the seventh year, and faculty members are typically evaluated for tenure in the seventh year. The seven-year probationary period includes any years of credit toward tenure specified in the letter of appointment at the time of hiring. In special circumstances, tenure may be awarded early. However, because review committees can be expected to apply standards strictly and without discounted expectations based on shorter time in rank, it is inadvisable for faculty members to seek early tenure unless there are compelling reasons to do so. Department chairs and colleagues have a responsibility to advise tenure-track faculty on the wisdom of coming up for early tenure and should not encourage any colleague to stand for early tenure unless they are positive the record is unequivocally tenurable. An unsuccessful candidate for early tenure may reapply within the existing tenure clock.

Typically, promotion to associate professor is considered simultaneously with the consideration of tenure, although formally the two are separate decisions. In unusual circumstances, an individual may be hired as associate professor without tenure, and in this case the issue of tenure is separated fully from the issue of promotion to associate professor.

There is no mandatory point of decision for promotion to full professor. A customary interval is approximately equal to that between the ranks of assistant professor and associate professor, because significant incremental achievement is expected between ranks. In special circumstances, an individual may be considered for promotion to full professor after only a few years in rank as an associate professor. However, because review committees can be expected to apply standards strictly and without discounted expectations based on shorter time in rank, it is inadvisable for faculty members to seek unusually swift promotion unless there are compelling reasons to do so. Individuals who have doubts about timing of promotion should seek advice from the Chair, who may appoint an ad hoc personnel committee to evaluate the situation. The Chair and any ad hoc personnel committee may use the annual merit review and the faculty member's post-tenure reviews as guidance for advising a faculty member on the scheduling of promotion to full professor.

Any individual may ask to be considered for promotion or tenure at any time, and the request will be considered by the Department unless it is contrary to the rules of the University. Individuals who believe that they are promotable or tenurable should not hesitate to ask the Chair for an evaluation.

## **5. The Departmental Review Process.**

Personnel files are prepared in the fall semester of the year before reappointment, promotion, and/or tenure take effect. The typical departmental calendar for reappointment, promotion, and tenure review is attached as Appendix A. When the review process begins, the Chair of the Department and chair of the review committee should establish exact deadlines for submission of material by the candidate and the review committee.

Each candidate for comprehensive review, tenure, and promotion is responsible for assembling materials for his or her own review dossier, in compliance with the requirements of the Office of the Vice Chancellor for Faculty Affairs and the Dean of the College of Arts and Sciences. The Chair and the faculty member's review committee will assist in assembling the dossier, will advise the faculty member on format and content of the dossier, and will gather confidential materials required for the dossier that the candidate may not collect him or herself, such as confidential letters from students and from external reviewers.

Communications regarding review and promotion between the candidate and the Chair, the Executive Committee, or the review committee should be in writing. The Chair of the Department, the chair of the review committee, and the candidate should respond to all formal written communications

regarding review and promotion as soon as possible, but no later than one week after receipt of the communication.

After the dossier has been assembled, the review committee will evaluate the materials and write an assessment of and recommendation on the case. Deliberations of the review committee prior to the completion of its report are confidential and may not be shared with the candidate. The candidate will be given the opportunity to examine the review committee's report before its release to the Department; the review committee will correct any errors of fact pointed out by the candidate. The candidate may not ask the review committee to change statements of evaluation in the report.

All faculty members of the Department who are eligible to serve on review committees are expected to be available to serve, except in extraordinary circumstances such as sabbaticals or other leaves, as a valuable service to their colleagues and to the university.

The departmental review process for tenure-track or tenured faculty undergoing reappointment, tenure, or promotion is governed by procedures established in the Department's Standing Rules section VIII.C.2, as follows:

- a. The Executive Committee, consulting with the candidate, will select a three-person review committee. The candidate may submit a list of five or more faculty for the Executive Committee's consideration. Review committees are to be selected with reference to the candidate's areas of interest. Review committee members must be tenured faculty; only full professors may serve on review committees for promotion to full professor. The Chair of the Department may not serve on a review committee. The Executive Committee will publish the names of people who are standing for reappointment or for promotion and tenure and the names of their committee members by mid-September. The Review Committee, in conjunction with the candidate, will develop a dossier for each candidate including reports and evaluations of teaching, research/creative work, and service. The dossier will include such internal and external letters as are required by current University policies. The dossier will also include a Review Committee letter of report and recommendation.
- b. A meeting of the Department will be held to discuss the candidates. The meeting will be open to all tenured or tenure-track members of the Department. Only eligible faculty who have familiarized themselves with the dossier in advance of the meeting and who attend the meeting will be given ballots. An eligible faculty member may also obtain a ballot by filing a notice with the chair of her/his familiarity with the case. The Chair of the Department is not eligible to vote.
- c. The dossiers will be available to Department members at least two weeks prior to the Department meeting at which candidates are discussed.
- d. The Department will be polled either by secret ballot at the Department meeting at which candidates are discussed or by secret mail balloting completed within 48 hours of that meeting. No candidate may vote on his/her own case. Only full professors may vote on cases of promotion to full professor. Only tenured faculty may vote on cases of tenure. Only those who have passed reappointment or its equivalent may vote on reappointment cases. The full vote will be promptly reported to the Department.
- e. The Chair will write a letter to the Dean of the College of Arts and Sciences for the candidate's file summarizing the discussion of the case at the Department meeting and reporting the results of the vote. The letter will also include, in a separate section, the Chair's assessment of the case and her/his recommendation for action.

## **6. Review above the Level of the Department.**

Following the Department vote, the candidate's file is sent from the Department to the Dean. The Dean refers the case to a standing College committee (the Dean's Personnel Committee), which

discusses each case in detail and votes on its disposition. The Dean's Personnel Committee is not bound to agree with the Department or the Chair. The Dean's Personnel Committee prepares a report for the Dean regarding their deliberations and vote. The vote is considered a recommendation to the Dean, who may or may not accept the recommendation. The Dean then writes a letter to the Vice Chancellor for Academic Affairs. This letter gives the Dean's personal evaluation of the case and a recommendation for action.

Beyond the Dean's office, the personnel file passes to the office of the Vice Chancellor for Academic Affairs. The Vice Chancellor's office receives files on all personnel decisions from all colleges on the campus. The Vice Chancellor refers the case to the Vice Chancellor's Advisory Committee (VCAC), which considers all cases for reappointment, promotion, and tenure. The VCAC discusses each case in detail and votes on its disposition. The VCAC prepares a report for the Vice Chancellor regarding their deliberations and vote. The vote is considered a recommendation to the Vice Chancellor, who may or may not accept the recommendation. The Vice Chancellor's decision is relayed to the Chancellor.

Beyond the Vice Chancellor's level, review occurs by the Chancellor. The Chancellor is responsible for making the decision on reappointment and promotion cases.

In questions of tenure, the Chancellor makes a recommendation to the President of the University of Colorado system. Affirmative recommendations by the Chancellor usually result in positive recommendations by the President to the Board of Regents, who have final authority in cases of tenure. The President and Regents usually take no action on negative recommendations for promotion to full professor from associate professor, unless a formal appeal is made by the faculty member.

At the time of this writing, review above the Vice Chancellor's level is typically pro forma. Difficult cases may be scrutinized by all levels, but the typical case is not usually examined closely at levels above the Vice Chancellor.

A negative decision by any level of review may be overruled by a positive decision at a higher level. For example, a negative decision by the Department may be overruled by the Dean or by the Vice Chancellor. Similarly, a positive decision at any level may be overruled by a negative decision at a higher level. When any decision is overruled, the case is sent back to the lower level with advice from the upper level and a request for clarification, reconsideration, or additional information. The case is then reconsidered by the lower level and forwarded again to the upper level for final review.

Return of cases from an upper level to a lower level cannot always be taken as a sign of weakness in the case. Sometimes, review committees find critical pieces of information missing from the file and ask for additional information, even though they fully expect to approve the case. Individuals under review should not be unduly concerned by a request for additional information unless the request is accompanied by a negative vote from the review committee.

The candidate and the Chair of the Department are directly advised by the relevant office (Chair, Dean, Vice Chancellor, Chancellor, President, or Regents) of all review decisions and receive copies of all review reports and all requests for further documentation.

7. **Rights of Appeal.** The rights of appeal for rejected candidates are outlined in the Laws and Polices of the Regents.



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Jeffrey N. Cox, Associate Vice Chancellor for Faculty Affairs

**Appendix A  
Calendar for Personnel Review  
Department of English**

Fall semester preceding the year of review. The Chair meets individually with all candidates undergoing mandatory review (reappointment or tenure) in the following year and advises them on the procedures and policies for review.

Spring semester preceding the year of review.

- Candidates for promotion to full professor advise the Chair of their intention to stand for promotion. If necessary, the Chair appoints an ad hoc personnel committee to advise the candidate on whether to proceed with the review.
- In consultation with the candidates for reappointment, tenure, and promotion review, the Executive Committee appoints Department review committees.
- The Chair organizes a meeting with each candidate and his/her Department review committee to go over procedure and assign tasks.

Summer preceding the year of review.

- In cases involving external letters of evaluation, materials are sent to external reviewers. For candidates for tenure and promotion to associate professor, materials are sent no later than June 15, with external evaluations due no later than September 1. For candidates for promotion to full professor, materials are sent no later than July 15, with external evaluations due no later than October 1.
- Working with his/her evaluation committee, each candidate assembles materials for his/her dossier, including statements on research, teaching, and service; course materials and other teaching materials; publications and relevant work in progress; and any other materials helpful to the evaluation.
- The Department evaluation committee assembles other materials as required, including confidential letters from students whose names are supplied by the candidate, as well as confidential letters from students in the candidates' courses who have been randomly solicited for evaluations.

First week of September. Committee report and complete file for comprehensive review available to Department (two weeks before Department meeting).

Approximately September 20. Department meeting and balloting on comprehensive review.

October 1. File with Chair's letter and report on balloting due to Arts and Sciences for comprehensive review.

First week of October. Committee report and complete file for tenure and promotion to associate professor available to Department (two weeks before Department meeting).

Approximately October 20. Department meeting and balloting on tenure and promotion to associate professor.

November 1. File with Chair's letter and report on balloting due to Arts and Sciences for tenure and promotion to associate professor.

Middle of November. Committee report and complete file for promotion to full professor available to Department (two weeks before Department meeting).



First week of December. Department meeting and balloting on promotion to full professor.

January 15. File with Chair's letter and report on balloting due to Arts and Sciences for promotion to full professor.

At any time. Candidate may add additional materials to the file at any time during its review, even after the file leaves the Department. Copies of additional materials must also be submitted to any prior levels of review.