



# University of Colorado at Boulder

**Todd T. Gleeson, Dean**

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College of Arts and Sciences  
Old Main 1-43  
275 UCB  
University of Colorado, Boulder, CO 80309-0275  
(303) 492-7294, Fax: (303) 492-4944, email: [gleeson@colorado.edu](mailto:gleeson@colorado.edu)

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MEMO

TO: Associate Vice Chancellor for Faculty Affairs Jeff Cox  
Members of the Vice Chancellor's Advisory Committee

FROM: Todd T. Gleeson, Dean

RE: Personnel Evaluations in the College of Arts and Sciences AY 09-10

Following is a description of the policies and procedures followed in the College of Arts and Sciences in personnel cases, including comprehensive review, promotion to associate professor and/or granting of continuous tenure, and promotion to full professor.

The mission of the College of Arts and Sciences is to provide instruction and to carry out research, scholarship, and creative work in a wide variety of academic disciplines. Thus, cases coming forward to the VCAC from the College cover the range and diversity of the academy.

Despite the disciplinary variance, the College faculty adhere to a common set of principles in evaluating excellence and meritorious accomplishment in their scholarly lives. A&S faculty have a responsibility to engage in research and creative work in their disciplines. In order to achieve a standard of excellence, faculty members are expected to have research or creative-work profiles at the national and international level and to have developed programs of sustained intellectual and creative activity.

As an equal responsibility, the teaching role of the faculty is to be crafted in a way that assures that their intellectual and creative talents are reflected in all levels and forms of instruction, both graduate and undergraduate. The College regards this responsibility to teach (broadly defined) as a highly significant part of the role and mission of the College and its various departments and programs.

Finally, faculty members in the College also serve their disciplines, the campus, and the larger communities in which the University is located, with outreach and service activities that enable these communities to benefit from the research and creative activity of the faculty and the students of the College.

Every faculty member's career ideally should reflect an optimal mix of teaching, research, and service activities. In practice, individual faculty members at various times in their careers may

for legitimate reasons emphasize one area more and the others less. The College and its students benefit most when we recruit and reappoint those faculty members who have the greatest promise to excel in each of these areas during their long and fruitful careers at the University. Awarding tenure is an especially important recognition of the fact that the faculty member has attained and promises to continue high levels of performance in all of these interrelated activities.

Although the basic standards of judgment exercised in our disciplines do not vary considerably, the materials upon which those judgments of scholarly and creative work are based differ considerably from discipline to discipline.

For instance, it is extremely important that the quality of work in the pure and applied sciences be demonstrated in publications. Where applicable, success in obtaining extramural, peer reviewed grants is expected. Faculty members in other disciplines, such as those in the fine and performing arts, do not require or have available this level of external support to do their work and therefore normally do not use this measure in assessing candidate quality. Instead, dramatic productions, successful showings of one's studio art, and creative works in costume design or on the stage are assessed in quantitative terms as well as in the qualitative evaluations made by the national artistic and performing communities upon which faculty members in these areas ultimately rely for their reputations.

Another configuration of assessment measures can be seen in the fact that some disciplines clearly regard the publication of scholarly books as a central feature of excellent performance (notably disciplines such as History, English, and foreign languages), whereas others are more dependent upon publication in refereed journals (for instance, Economics). Some disciplines, in this regard, quantify productivity in different ways, even when the same scholarly format is emphasized. For instance in some areas of the natural sciences, where team projects are common, numerous jointly-authored papers often are seen as evidence of research accomplishment, whereas in the humanities, faculty members traditionally work in a more individualistic fashion and greater value is thus placed on single-authored papers. Therefore, the frequency of publication may be less in the latter disciplines, although the impact may be as great as in other disciplines where numerous papers are to be expected in any given year. Books and articles written by faculty of the College of Arts and Sciences are generally considered "finished" when they are in print or in galley stage. That is, a publication can be considered finished when all corrections and modifications are complete. Works that are still in the review and revision stage are considered as works in progress.

In order to be judged meritorious in research or creative work, faculty must have established a strong record of accomplishment as judged against the criteria of the primary unit and College. A meritorious record must evidence the following: regular research activity, sustained productivity in a line or lines of research going beyond the dissertation, intellectual originality and independence, high quality as indicated by publication in recognized refereed journals or similarly prestigious venues, and impact on relevant fields of scholarship. Additional indicators include external funding, invitations to publish or present, and awards.

Demonstrated excellence in research or creative work, in addition to satisfying the primary unit's criteria for meritorious accomplishment, requires demonstrated research or creative works accomplishment which can be considered equivalent to that of the top group of tenured faculty in the discipline at a similar stage of career, here and in comparable departments or programs at other institutions. External review letters play an important role in this judgment.

Teaching is reflected in diverse contributions as well. For example, faculty teach in large lecture classes, small seminars, laboratories and studios, independent study, and supervision of creative work, scholarship, and research at the undergraduate and graduate level. Teaching is evaluated based on a wide variety of criteria reflecting the many types of instruction that take place in the College of Arts and Sciences. The factors considered in determining whether a candidate for reappointment, promotion, or tenure has demonstrated meritorious achievement in teaching include the record of the candidate in both undergraduate and graduate classroom instruction, the quality and quantity of individualized instruction and mentoring the candidate has performed, contributions to the curriculum of the College, thoughtful preparation of course materials and syllabi, conscientious grading, involvement of students in research activities (for example, through the Undergraduate Research Opportunities Program), work with the Faculty Teaching Excellence Program, and participation in professional pedagogical activities or organizations.

Excellence in teaching is based on many of the same factors, but a teaching record may be deemed excellent only if it goes both qualitatively and quantitatively beyond excellent classroom teaching and beyond other standard activities that support classroom teaching. In order to document an evaluation that a candidate has achieved excellence in teaching, the department must provide evidence of significant achievements in addition to excellent classroom performance. Relevant indicators of such achievements may include a subset of the following: evidence of exceptionally strong performance in individualized instruction of graduate and/or undergraduate students, substantial contributions to curriculum development (such as creating new certification or interdisciplinary programs, or developing an unusual number of innovative new courses), effective integration of service-learning and community-based activities into coursework, important visiting professorships or artist-in-residence appointments emphasizing teaching activities, effective teaching in residential academic programs or Honors Program, significant participation in professional pedagogical organizations, the publication of noteworthy pedagogical papers or textbooks. Receipt of college-wide or campus-wide teaching awards may be an indicator of an excellent teaching case, but is not a prerequisite. Additional criteria deemed suitable by the evaluating unit that are clearly documented also will be considered.

Service to department or program is expected of all faculty members of the College. The College of Arts and Sciences subscribes to the philosophy that the record of service of junior faculty members should show a trajectory of increasing diversity and contribution over the probationary period for tenure, but that the overall commitment to service during this period should be less than for more senior faculty. In this regard, the written description of a meritorious service record offered by the Office of Faculty Affairs (dated 5 July 2000) is consistent with College expectations for junior faculty. Substantive service of high quality performed for the University, the profession, and the community is an expected component of the typical case for promotion to full professor in the College.

Taken altogether, therefore, the disciplines in the College of Arts and Sciences represent a wide diversity of intellectual activity, focus, and definition of productivity. Our personnel cases will reflect this diversity as well as the varying disciplinary criteria for measuring and assessing excellence. I hope always that the Provost and the VCAC will seek the advice of the Dean and the Arts and Sciences Personnel Committee, as well as that of the departments, in discussing the standards against which individual faculty performance is to be assessed and the measures used to assess it. In this way we can succeed in assuring fair, equitable, and vigorous application of the highest standards in all cases.

The final issues that I wish to address are the composition and review processes of the Arts and Sciences Personnel Committee. Membership on the Personnel Committee of the College is by appointment from the Arts and Sciences Council membership (4 minimum) or via nomination by the Dean and approval from the Council's Committee on Committees. This year the members of the Committee are:

Deane Bowers	Museum Administration	Keith Kearnes	Math
Albert Chong	Art and Art History	Susan Kent	History
Bert Covert	Anthropology	Bernadette Park	Psychology
Peter Elmore	Spanish & Portuguese	Anu Sharma	Spch, Lang & Hearing Sci
Graeme Forbes	Philosophy	Mark Williams	Geography
Zygmunt Frajzyngier	Linguistics	Jeff Zax	Economics
Henry Kapteyn**	Physics		

Our procedures for review are as follows:

Cases coming from departments with positive recommendations are assigned to 2-member subcommittees. Subcommittee members carefully read the entire file. In addition, all members of the Personnel Committee receive copies of the departmental chair and subcommittee letters and the candidate's vita. The complete file is available to any Personnel Committee member who wishes to read it. At a Personnel Committee meeting, subcommittee members present the case and make a recommendation. A discussion and a vote follow. If this vote is negative, it is considered to be a motion for all members to read the complete file, and the case is rescheduled. Subsequent discussion and committee vote on a recommendation to the Dean are postponed to a future meeting.

Subcommittee members, associate deans, or the Dean may ask the full Committee to read the complete file prior to or during the scheduled presentation. Referral of the complete file to the full Committee at any time should not be construed as implying that there is a problem with the case.

Cases coming from departments with negative recommendations automatically are read by the full Committee. When the Committee's vote disagrees with a department's recommendation, whether it is positive or negative, the file is returned to the department for

reconsideration. The Committee requires that the department response include a full department vote. Upon its return to the Dean's office, the Arts and Sciences Personnel Committee again considers the file, and a recommendation is made to the Dean.

Once the Personnel Committee reaches a decision, a Committee letter is written by the subcommittee chair. Letters for files read only by subcommittee members are reviewed by both readers and by the appropriate divisional Associate Dean. Letters for cases in which complete files are read by the full Committee are reviewed by all committee members and by the appropriate divisional Associate Dean. The file is then sent to the Dean for his separate recommendation. The Committee's and Dean's recommendations are added to the file, and the file is sent to the VCAC. Copies of Personnel Committee and the Dean's letters of recommendation are provided to the candidate and to the candidate's chair or director.

No member of the Personnel Committee may participate in his/her own reappointment, promotion, or tenure case; in a case from his/her own department; or in a case regarding a family member, spouse, partner, or former student. Members of the Personnel Committee must disclose any potential conflicts of interest that might compromise objective evaluation of the case (research collaboration, close friendship, business relationship, etc.) to the chair of the Personnel Committee. Associate deans and the dean attend Personnel Committee meetings to serve as liaisons between the Committee and the departments.

I look forward to discussing questions of procedure and policy with the members of the VCAC when I have an opportunity to meet with them.

cc: A&S Personnel Committee  
A&S Chairs and Directors