

**STANDING RULES**

**DEPARTMENT OF SOCIOLOGY**

**UNIVERSITY OF COLORADO BOULDER<sup>1</sup>**

Approved by a unanimous Sociology faculty  
December 7, 2021  
Revised February 2023

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<sup>1</sup> The Department of Sociology operates under the [Professional Rights and Responsibilities of Faculty Members and Roles and Professional Responsibilities of Academic Leaders](#), the policies, and practices of the College of Arts and Sciences, the rules and policies of the University including those found in its varied organizational units such as the VCAC, and [Laws of the Board of Regents](#). The Sociology Department Standing Rules are supplemental; rules of a higher organizational unit take precedence over those of a lower unit, and campus policy will prevail when the Sociology Standing Rules are inconsistent with updated campus policies.

## TABLE OF CONTENTS

A. INTRODUCTION .....	6
B. RESPONSIBILITIES OF THE DEPARTMENT .....	6
1. Teaching	
2. Research	
3. Service	
C. THE CHAIR OF THE DEPARTMENT .....	7
1. Responsibilities	
2. Duties	
3. Term of Office	
4. Nominations and Election	
5. Acting Chairs	
D. ASSOCIATE CHAIRS OF THE DEPARTMENT .....	7
E. FACULTY GOVERNANCE .....	8
1. Departmental Policy	
2. Meetings	
3. Quorum	
4. Agenda	
5. Minutes	
6. Voting	
7. Proxy Votes	
8. Voting Procedure	
9. Student Representation	
F. THE FACULTY .....	9
1. Responsibilities	
2. Associate Faculty	
a. Professors Emeriti	
b. Affiliate Faculty	
c. Adjunct Faculty	
d. Visiting Professors	
c. Lecturers and Teaching Professors	
3. Research Faculty	
4. Graduate Faculty	
5. Absence from Classroom	
6. Differentiated Workload Policy	
G. STANDING COMMITTEES .....	11
1. The Executive Committee	
a. Composition of the Committee	

- b. Election of At-Large Executive Committee Members
      - i. Timing of Election
      - ii. Term of Office
      - iii. Timing of Special Election
      - iv. Nomination and Voting
    - c. Designation of Alternates
    - d. Meetings and Quorum
    - e. Inability to Serve
    - f. Duties of the Executive Committee
    - g. Committee Voting
  - 2. Undergraduate Committee
    - a. Membership
    - b. Student Representation
    - c. Committee Meetings
  - 3. Graduate Committee
    - a. Membership
    - b. Student Representation
    - c. Committee Meetings
    - d. Ph.D. Examinations
    - e. Graduate Student Handbook
    - f. Graduate Recruitment
    - g. Graduate Admissions Subcommittee
  - 4. Strategic Action for Equity Committee
    - a. Membership
    - b. Student Representation
    - c. Staff
  - 5. Events Committee

H. AD HOC DEPARTMENT COMMITTEES .....	15
1. Faculty Recruitment Committee	
a. Membership	
b. Student Representation	
c. Voting on Short-list and Hiring	
2. Faculty Reappointment, Promotion, and Tenure Committee	
a. Membership	
b. Voting	
c. Confidentiality	
3. Other Ad Hoc Committees	
I. RELATIONSHIPS WITH OTHER UNITS ON CAMPUS .....	17
J. CHANGES IN THE STANDING RULES .....	17

**APPENDICES**  
**DEPARTMENT GUIDELINES<sup>2</sup>**

**APPENDIX I: GUIDELINES FOR REAPPOINTMENT, TENURE, AND PROMOTION**

1. Rules of the Regents
2. Allocation of Effort
3. Philosophical Background
4. Evaluation of Teaching
5. Evaluation of Research
6. Evaluation of Service
7. Milestones for Evaluation
  - a. Timetable for Reappointment, Promotion, and Tenure
  - b. The Departmental Review Process
  - c. Review above the level of the Department

**APPENDIX II: ANNUAL MERIT EVALUATION**

1. Annual Evaluation
2. Period Evaluated
3. Material Evaluated
4. Differential Weights
5. Special Merit Recommendations
6. Salary Equity
7. Salary Adjustments Basis
8. Evaluation Categories
9. Faculty Feedback
10. Evaluation Guidance
  - a. Teaching
  - b. Research
  - c. Service
  - d. Other
  - e. Definition of Evaluation Categories

**APPENDIX III: ANNUAL REVIEW OF THE CHAIR**

**APPENDIX IV: FIVE YEAR POST TENURE FACULTY REVIEWS**

**APPENDIX V: FACULTY GRIEVANCE PROCEDURES**

**APPENDIX VI: STUDENT GRIEVANCE PROCEDURES**

**APPENDIX VII: GUIDELINES RELEVANT TO HIRING OF TENURED AND TENURE-TRACK FACULTY**

1. Selection of Candidates for Campus Interview

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<sup>2</sup> These “Guidelines” are not part of the Standing Rules. Changing Guidelines does not require 2/3 vote; it requires only a majority vote.

2. Selection of Candidates to Whom a Position will be Offered

APPENDIX VIII: COURSE BANKING

APPENDIX IX: MENTORING PLAN FOR ASSISTANT PROFESSORS AND  
TEACHING ASSISTANT PROFESSORS

1. How Mentors are Selected or Changed
2. What is Expected of the Mentor
3. The Mentor in the Classroom
4. Evaluation

APPENDIX X: GUIDELINES FOR INDEPENDENT STUDY

1. Independent Study Policy and Procedures of the Department of Sociology
2. Maximum Independent Study Credit Hour

APPENDIX XI: PROCEDURES FOR PROMOTION TO TEACHING ASSOCIATE  
PROFESSOR

**STANDING RULES  
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**A. INTRODUCTION**

The Department is a community of scholars working toward common objectives of advancing knowledge and promoting learning in a supportive environment. In furtherance of these objectives, it is helpful to have established procedures and policies that enable the Department to carry out its functions and obligations. It is hoped that these procedures and policies reflect common understanding and minimize any conflict and misunderstanding. This is the rationale for these Departmental Standing Rules.

As used in this Document, *Standing Rules* refer to relatively stable operating procedures, to be ratified (or changed) by 2/3 vote of the faculty. In contrast, *Guidelines* are more flexible and are adopted by majority vote.

Each of the units of our larger community--the College of Arts and Sciences, the Graduate School, the campus as a whole, and ultimately, the Regents of the University of Colorado--have established policies and procedures for the functioning of the University, only some of which are repeated here. In all cases, our policies and procedures, which may present greater detail or address specific additional areas, are subservient to those existing at higher levels within the University.

**B. RESPONSIBILITIES OF THE DEPARTMENT**

The responsibilities of the Department are to implement, within its area of competence and the limits of its resources, the basic goals of the University through the activities of its faculty in the areas of teaching, research, and service.

**1. Teaching.** The Department offers two instructional programs. These are: (1) an *Undergraduate program* of courses designed to support the liberal arts education of undergraduates in all departments and colleges of the University and a curriculum leading to a major or minor in the field of Sociology; and (2) a *Doctoral program* providing advanced graduate education in Sociology.

**2. Research.** The role of the professional academic scholar includes creative research resulting in contributions to the published literature of the discipline and profession. The Department--through the efforts of its faculty--shall work to attain the highest possible scholarly and educational pre-eminence in the sociological profession. The Department encourages the involvement of graduate students in research and publication endeavors as part of their professional training, and the inclusion of undergraduates whenever possible.

**3. Service.** The Department expects faculty to apply their professional skills and knowledge in service both on and off campus. On-campus service includes service to the Department, College, Graduate School, University, and other on-campus units. Off-campus service includes service to the sociological profession and the application of sociological knowledge to the resolution of problems confronting groups, organizations, agencies, governments, and society.

## C. THE CHAIR OF THE DEPARTMENT

**1. Responsibilities.** The responsibilities of the Chair are set forth in the Faculty Handbook and the Laws of the Regents.

**2. Duties.** The Chair shall function as the chief administrative officer of the Department, responsible for executing the policies established by the University. The Department Chair and/or the Chair's designee shall: (a) draw up the teaching schedule; (b) determine the annual schedule of faculty teaching observations based on the frequency detailed in the [Quality Teaching Initiative documents](#) and prioritizing those due for Reappointment, Promotion, and Tenure; (c) oversee the departmental budget and departmental recommendations for new appointments, reappointments, terminations of appointment, salary increases, tenure and promotions; (d) carry out all duties of the Chair specified in later sections of this document; and (e) refer all matters relating to the formulation of policy either to the Executive Committee, Department faculty, or to the Department members at large as appropriate. The Chair shall be free to act in an executive or administrative capacity upon established policy.

**3. Term of Office.** The term of the Chair of the Department follows College of Arts and Sciences policy. It is negotiated between the Chair and the faculty; three or four years is the norm in the College. The regular teaching load for the Chair is determined through negotiation with the Dean or Associate Dean. Where possible, a new Chair shall take office at the beginning of the Fiscal Year on July 1st.

**4. Nominations and Election.** Voting for the chair shall normally be conducted at a regular or special faculty meeting as early as possible in the semester preceding that in which the new Chair is to take office. Nominations for the office of chair may be made by voting members of the Department. The Department vote is a non-binding recommendation to the Dean. Eligibility to vote in the election of a Chair is described in Section E.6 below. Proxies are permitted, as described in Section E.7 below. A candidate must receive a majority of all votes cast. If on the first election ballot no candidate receives a majority, a second ballot will be taken to choose between the two candidates who received the highest number of votes, including ties.

**5. Acting Chairs.** For periods of time no longer than one semester and during the summer session, the Chair may appoint from among the regular faculty members of the Department an Acting Chair to serve during the Chair's absence.

## D. ASSOCIATE CHAIRS OF THE DEPARTMENT

The Chair of the Department shall appoint two Associate Chairs of the Department, ideally for two years but shorter terms can be negotiated between the appointee and the Chair. The Associate Chair for the Undergraduate Program will chair the Undergraduate Committee and the Associate Chair for the Graduate Program will chair the Graduate Committee. Associate Department Chairs usually start and end their terms in August (although during the summer they operate on an as-needed basis).

## E. FACULTY GOVERNANCE

**1. Departmental Policy.** The power to make policy rests with the voting members of the Departmental faculty and any additional people to whom they grant voting rights.

**2. Meetings.** Faculty usually meet on a monthly basis during the academic year, and at additional times as determined by the Chair or by a majority vote of the tenured faculty. The Chair (or the Chair's designee) shall preside at faculty meetings. Meetings will usually offer the opportunity for reports from the Graduate and Undergraduate Committees, and the Chair should report regularly to the faculty about the activities of the Executive Committee. Faculty meetings should include an opportunity for all members of the faculty to bring "New Business from the Floor." *Robert's Rules of Order, Revised*, shall be used to resolve any procedural questions that arise, with the exception that the voting members of the Department can, with a two-thirds majority, suspend the rules for a single agenda item.

**3. Quorum.** A quorum for the conduct of business at a regularly scheduled meeting of the faculty during the regular school year (when the University is in session during the fall or spring semesters) shall be those voting members present.

For meetings during the summer session or during the break between Fall and Spring semesters, a quorum is the majority of the faculty (excluding members on leave) normally eligible to vote.

**4. Agenda.** The Chair shall circulate an agenda prior to the faculty meetings and, whenever possible, before any other scheduled meeting of the faculty.

**5. Minutes.** The Chair (or the Chair's designee) shall be responsible for the recording and circulation of faculty meeting minutes. Minutes shall specifically record policy, programmatic, and procedural judgments, when such are brought to question and passed (or not passed) by a majority of those eligible to vote. Minutes are reviewed and considered for approval at the next faculty meeting. Details regarding votes on personnel cases are not included in the minutes (including actual vote counts), but instead they are recorded and transmitted to the College Office by the Chair.

**6. Voting.** Full voting rights are extended to all those who hold tenured/tenure track lines in the Department and to Teaching Associate Professors and Teaching Assistant Professors who have been reappointed after a three-year review, with the following exceptions. We follow *Robert's Rules of Order* in the case of the Chair; the Chair votes only when the vote will impact the result (i.e., when there is a tie vote).

In personnel decisions, the rule of seniority prevails. A faculty member can examine materials, participate in or be present for discussions, and vote only for promotions to their own rank or a lower one.<sup>3</sup> Only tenured faculty may participate in or be present for reappointment decisions for Assistant Professors. All tenured and tenure track faculty may participate in and vote in all hiring decisions and recommendations for Chair of the Department.

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<sup>3</sup> A candidate can give permission for others to see materials with the exception of external letters; letters from students can be shared with the candidate only after identifying information is redacted (unless this conflicts with College or University rules).

Teaching Associate Professors and Teaching Assistant Professors who have been in rank in the Department for at least three years, undergone comprehensive review by the full faculty of the Department, and reappointed to terms of longer than one year will have full voting rights, with the exception that they will not participate in votes regarding hiring, reappointment, or promotion or reappointment of tenured/tenure-track faculty or Teaching Professors, although they will be encouraged to participate in discussions about hiring. Teaching Associate Professors and Teaching Professors who have full voting rights (as defined earlier in this paragraph) can fully participate and vote on hires of new Teaching Assistant Professors and Teaching Associate Professors. They are also eligible to vote for Chair of the Department.

**7. Proxy Votes.** Faculty members absent from a faculty meeting may name another member of the voting faculty to be their proxy and vote for them in specific ways on issues related to reappointment, promotion, and tenure. No proxy votes are permitted on other issues. The absent faculty member must notify the Chair prior to the meeting by email of the faculty member to whom their proxy has been awarded. The Chair cannot cast proxy votes.

**8. Voting Procedure.** Unless otherwise specified in this document, all decisions of the faculty shall be made by majority vote. Faculty votes involving personnel issues and other special circumstances as determined by the Chair (or by majority vote if the majority disagrees with the Chair) shall be confidential.

**9. Student Representation.** The Graduate Student Association will elect two co-chairs to attend faculty meetings. The election will follow similar procedures to those used for faculty election to the Executive Committee. The Graduate Program Coordinator will supervise the election. The co-chairs will serve as non-voting participants (not simply “observers”) at the faculty meeting. Graduate students will be excused from discussions of personnel issues, discussions about individual graduate students, and other issues at the discretion of the Chair.

## F. THE FACULTY

**1. Responsibilities.** The responsibilities of the Faculty are set forth in the “Professional Rights and Responsibilities of Faculty Members,”<sup>4</sup> and the Laws of the Regents. When the term “faculty” is used in this Department, it includes Teaching Professors (both Assistant and Associate), as described in Section E.6 above, Assistant Professors on tenure track lines in the Department, and tenured Associate and Full Professors.

**2. Associate Faculty.** Professors emeriti, adjunct and visiting professors of all professorial rank, and lecturers can be accorded “Associate Faculty” status upon vote of the majority of the faculty and are then eligible to attend faculty meetings and serve as non-voting members on all non-elected committees of the Department. Associate faculty may not serve as the Chair of Standing or Ad Hoc Committees, or on the Executive Committee. They may sit on graduate students’ committees if appointed to the Graduate Faculty (see section F.4). They will be excused from discussions of personnel issues, and other issues at the discretion of the Chair.

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<sup>4</sup> See *supra* Note 1.

**a. Professors Emeriti.** Any faculty member in accordance with normal faculty review procedures and by approval by the Dean and by the Board of Regents may be allowed to retain their title with the description “emeritus” or “emerita” after a majority vote by the faculty.

**b. Affiliate Faculty.** This honorific title is awarded to faculty in other departments at CU who have a presence in the Sociology Department. “Presence” includes teaching, committee work, work with graduate students, and similar activities. Affiliate faculty are named by a majority vote of the faculty. To ensure that our list of Affiliate Faculty is up to date, the list of Affiliates (which should be posted on the Sociology web page) will be periodically reviewed by the Executive Committee, with an eye toward removing those who are no longer active in the department.

**c. Adjunct Faculty.** Adjunct faculty members are hired/named on a course-by-course, part-time, non-tenure track basis (similar to Lecturers). Adjunct faculty status of Professor Adjunct, Associate Professor Adjunct, and Assistant Professor Adjunct is awarded to an individual who previously held the rank of full Professor, Associate, or Assistant at a comparable higher education institution. The title of full Professor, Associate, or Assistant Professor Adjunct will be dependent upon the last rank held by the individual in a comparable institution. If the permanent faculty believes an individual’s qualifications and experience warrant an adjunct appointment even though the individual has not previously held a professorial rank, the title of Assistant Professor Adjunct normally would be recommended. These positions are not tenure-eligible and are at-will.

**d. Visiting Professors.** The designation “Visiting” before an academic title indicates that the faculty member has a temporary appointment for an academic year, semester, or summer term. The “Visiting” title shall indicate the faculty member’s rank at their home institution, i.e., Visiting Professor, Visiting Assistant Professor, Visiting Associate Professor, or Visiting Instructor. Visiting Professors may be appointed by the Chair.

**e. Lecturers and Teaching Professors.** The title “Lecturer” is a temporary title granted to scholars invited to the Department to perform specific teaching duties. Lecturers are hired to teach on a course-by-course basis and may be hired by the Chair. The title “Teaching Professor” refers to an individual on a longer-term contract with primarily teaching responsibilities, but also some service. The hiring of Teaching Professors can be done only after the vote of the majority of the faculty. The Department adheres to the rules of the University regarding hiring and reappointment of Lecturers and Teaching Professors.

**3. Research Faculty.** Faculty members whose primary duties are to conduct research activities will be given a title within either the “Research Associate” or “Research Professor.” Faculty who are not involved in the instructional program will be appointed within the Research Associate series; those who are involved in the instructional program will be given a title within the Research Professor series. A majority vote of the faculty is required to hire a Research Faculty member. Research Faculty are not expected to have service responsibilities in the Department.

**4. Graduate Faculty.** A person must be a member of the Graduate Faculty to teach a graduate level course, to serve on a graduate examining committee in the Department, or on a graduate

committee supervising research. All those with tenure or holding tenure-track lines in Sociology should be added to the Graduate Faculty (by the Graduate School) as soon as possible after joining the Sociology faculty. Additional recommendations for membership in the graduate faculty (typically to serve on the committee for one graduate student) are made by the Chair after a binding majority vote of the Graduate Committee and approval from the Graduate School.

According to the Rules of the Graduate School, recommendations for membership on the Graduate Faculty are initiated by the Department Chair or Associate Chair for the Graduate Program. Any faculty member at CU Boulder may request that their credentials as a candidate for membership on the Graduate Faculty be reviewed. The recommendation is reviewed by the Chair of the department and the Dean of the College of Arts & Sciences prior to submission to the Dean of the Graduate School for consideration. The term of appointment for regular members of the Graduate Faculty is for a maximum of seven years. For untenured faculty, the length of the Graduate Faculty appointment corresponds to the length of the faculty member's appointment in the department. Members of the Graduate Faculty may be reappointed any number of times.

*Regular* membership on the Graduate Faculty is generally limited to full-time faculty members of CU Boulder who hold the rank of assistant professor, associate professor, or professor, as well as any research professor title. The quality of graduate teaching, thesis supervision, research and creative work is central to the decision.

The appointment of a *special* member to the Graduate Faculty is for a maximum of three years. Such appointments are generally made for service on individual student's committees. They may be renewed upon recommendation by the Chair or Graduate Program director and re-approval by the Dean of the Graduate School.

**6. Absence from Classroom.** The Department adheres to the policy of the College of Arts and Sciences regarding faculty absences.<sup>5</sup>

**7. Differentiated Workload Policy.** Most sociology faculty are assigned a workload of 40 percent teaching, 40 percent research, and 20 percent service. In some cases this distribution is adjusted because of administrative duties. In other cases, faculty with little or no research productivity may be assigned a higher teaching component and lower research component (particularly when student demand for courses is high). Such assignments are made by the Chair (with the approval of the Dean), and can be appealed by the affected party to the Department's Executive Committee. Only in the rarest circumstances will the 40-40-20 distribution be altered for Assistant Professors. Annual merit evaluations of faculty (and salary decisions) are made on grounds proportional to the faculty member's workload assignment.

## G. STANDING COMMITTEES

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<sup>5</sup> "It is expected that faculty members will not be absent from classes except in cases of illness, personal emergency, religious observance, or when the absence is desirable for the faculty member to meet his or her professional responsibilities." "This policy applies to all faculty members, including those who do not have formal teaching assignments in the semester in which the absence is to take place. It does not apply to those on leave without pay, faculty fellowships, or sabbatical leave." See <https://www.colorado.edu/facultyaffairs/faculty-absences> (accessed 9/15/21).

Standing Committees shall assist the Chair in carrying out the policies of the Department. The Department shall operate the following Standing Committees:

**1. The Executive Committee.** The Executive Committee shall be the major Departmental agent representing the academic and professional interests of the Department faculty in Departmental affairs. This committee is responsible for formulating recommendations based upon departmental policy relating to budgetary matters, salaries, teaching responsibilities, and other issues that need resolution. Any regular faculty members can request items for the agenda of Executive Committee meetings.

*a. Composition of the Committee.* The Executive Committee will be comprised of five faculty members, each of whom has a full vote in any Committee decision: the Chair of the Department who shall serve as Chair of the Executive Committee, the Associate Chair for the Undergraduate Program, the Associate Chair for the Graduate Program, and two faculty who are elected by the faculty at-large for two-year terms on a staggered basis. The Executive Manager of the Department shall serve on the Committee as a non-voting member.

*b. Election of Executive Committee Members.* All tenured members of the Department are eligible for election to the Executive Committee.

- i. Timing of Election. Executive Committee members will be elected during the Spring semester preceding start of their membership on the Committee.
- ii. Term of Office. Each two-year term will start and expire with the beginning of a Fall term.
- iii. Timing of Special Election. A special election shall be conducted to replace any member of Executive Committee who becomes a Chair or Associate Chair, or becomes unable to continue to serve (see Section G.1.e).
- iv. Nomination and Voting. Election to any vacancy on the Executive Committee shall normally be completed in the Spring semester preceding the Fall semester in which the new committee member is to take office. All tenured faculty except the Chairs, Associate Chairs whose term begins the following Fall, and continuing Executive Committee members are eligible for election to the Executive Committee. The ballot will contain the names of all eligible faculty. Members who will be unable to serve for part of the term, may, after discussion with the Chair, have their names removed from the ballot. The vote will occur electronically or by a confidential ballot. If more than one position is open, a vote for the second position will occur after the results of the first election are announced.

*c. Designation of Alternates.* Unless invited by the Chair or Committee, only members of the Executive Committee may attend Executive Committee meetings or vote in Executive Committee matters. Executive committee members may not designate an alternate to attend Committee meetings which they are unable to attend.

**d. Meetings and Quorum.** A quorum consists of three members of the Executive Committee (regardless of whether the Chair is one of the three). Meetings of the Executive Committee shall normally be held at least once a month during the regular academic year.

**e. Inability to Serve.** An elected member of the Executive Committee who is unable to serve on the Committee for one semester or more (e.g., due to sabbatical leave) shall be dropped from the Committee and the vacancy shall be filled by election of another member to serve out the full Executive Committee term of the member being replaced.

**f. Duties of the Executive Committee.** The specific duties of the committee shall include, but are not limited to, making substantive recommendations to the Chair on matters concerning faculty tenure, promotion, salaries, contract renewals, and the appointment of faculty to Standing Committees. More generally, the Executive Committee shall play a strategic role in the formulation of policy or procedural recommendations to the faculty or the Chair for appropriate action.

**g. Committee Voting.** Each member of the Committee (including the Chair) shall have an equal vote. Proxy votes of committee members absent from a meeting shall be allowed only when the absent Executive Committee member informs the Chair ahead of time of the specific issue(s) for which the absent member wishes to cast a proxy vote and the substance of that person's vote.

**2. Undergraduate Committee.** This Committee is responsible for administering the undergraduate curriculum, overseeing the progress of the undergraduate students through the undergraduate program, and coordinating the advisory system.

**a. Membership.** This committee shall be comprised of at least three members, including the Associate Chair of the Department for the Undergraduate Program, who chairs this Committee. Other members of this committee are appointed for one-year terms by the Chair of the Department. These terms shall begin and end on the first day of the Fall semester.

**b. Student Representation.** The Graduate Student Association may elect two representatives to sit as non-voting members on the Undergraduate Committee. The Associate Chair for the Undergraduate Program may also invite undergraduate students to participate in committee meetings. Student representatives will be excused from any discussions of individual student and personnel issues.

**c. Committee Meetings.** Meetings of the Undergraduate Committee are called by the Committee Chair on an as-needed basis, and normally take place monthly during the academic year.

**3. Graduate Committee.** This committee is responsible for developing, maintaining and administering the graduate program. It makes recommendations concerning admissions, the graduate curriculum, and the progress of students through the program. It makes recommendations concerning the graduate curriculum and oversees the graduate admissions process.

The Graduate Committee develops guidelines for Third Year Papers and Comprehensive Exams. Comprehensive examinations shall be administered by faculty committees according to provisions of the Graduate Handbook. The Associate Chair for the Graduate Program and the student's Exam Committee Chair are accountable for the integrity of these examinations. The Graduate Chair runs the Third Year Paper seminar each fall, which provides optional independent study credits for students writing Third Year Papers. Each fall, the Department Chair in consultation with the Graduate Chair appoints the blind faculty reviewers for Third Year Papers, and the Graduate Chair is responsible for assigning them to review specific papers.

**a. Membership.** This committee shall be comprised of at least three members including the Associate Chair for the Graduate Program, who chairs this committee. Other members of this committee are appointed for one-year terms by the Chair of the Department. These terms shall begin and end on the first day of the Fall semester.

**b. Student Representation.** The Graduate Student Association may elect two representatives to sit as non-voting members on the Graduate Committee. Graduate student representatives will be excused from any discussions of individual student and personnel issues.

**c. Committee Meetings.** Meetings of the Graduate Committee are called by the Committee Chair on an as-needed basis, and normally take place monthly during the academic year.

**d. Ph.D. Examinations.** Specialty Area examinations shall be administered according to provisions of the Graduate Handbook. The Associate Chair for the Graduate Program and the student's Exam Committee Chair are responsible for the integrity of these examinations.

**e. Graduate Student Handbook.** This committee shall maintain the Graduate Student Handbook and keep it up to date to reflect changes in the Graduate Program. A revised version of the Handbook shall be issued at least two weeks prior to the beginning of the Fall Semester (in some years only the date of the relevant academic year will be changed; in other years there will be more substantive changes).

**f. Graduate Student Recruitment.** The Graduate Committee develops and engages in activities that encourage top quality applicants to the graduate program.

**g. Graduate Admissions Subcommittee.** Faculty members on the Graduate Committee select a Graduate Admissions Subcommittee which reviews and accepts applications for admission to the graduate program, and administers and awards available funds to attract students to the Department's Graduate Program. All tenured or tenure track faculty are eligible to sit on the Graduate Admissions Committee.<sup>6</sup> All faculty members are welcome to review applications and make recommendations to this committee. One faculty member is selected each year as the Graduate Admissions Director to oversee the admissions process.

#### **4. Strategic Action for Equity Committee.**

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<sup>6</sup> Graduate students may not sit on Graduate Admissions Committees in Sociology.

The *Strategic Action for Equity Committee* is entrusted with inclusive excellence initiatives within the Department. Inclusive excellence refers to the pursuit of equity in thought and action with respect to actual and prospective members of our learning community. This entails (1) recognition of inequalities resulting from past and present processes of exclusion, marginalization and systematic disadvantage experienced by people and communities by virtue of their group membership and (2) actions to address the present consequences of said exclusion whether based on race, ethnicity, gender, sexuality, class, or other factors.<sup>7</sup>

The Committee is responsible for implementing these goals within the Department. This may include but is not limited to (1) promoting equitable hiring, retention, and promotion of community members, (2) supporting the Department's curriculum and scholarship about equity and inclusion, (3) fostering intergroup dialogue, (4) monitoring complaints about inequities in the Department and suggesting solutions, (5) connecting to equity and inclusion efforts on campus, and (6) modeling a community driven by concern for equity and inclusion. Challenging barriers to equity and inclusion require sustained commitment by the Department to support current actions that address historical injustice, and to dialogue about cultural norms and practices that support equity.

***a. Membership***

This Committee shall be composed of at least two faculty members, *one of whom is tenured*. The Department Chair appoints its members for one-year terms. These terms shall begin and end on the first day of the Fall semester.

***b. Student Representation***

The Graduate Student Association may elect two representatives to sit as non-voting members on the Committee. The Chair of the Committee may invite undergraduates to participate in committee meetings. Students will be excused from any discussions of individual student and personnel issues.

***c. Staff***

Staff members may attend and participate in Committee meetings.

**5. Events Committee.** This committee is responsible for enhancing the social life of the department. The primary responsibility of the committee shall be organization of the fall welcome picnic. Other activities may include organizing a holiday party, end-of-year party, and organizing research interest gatherings.

***a. Membership.*** This committee shall include at least one faculty member, one graduate student, and Department staff. The Department Chair appoints the faculty member for a one-year term. This term shall begin and end on the first day of Fall semester.

***b. Student Representation.*** The Graduate Student Association shall elect at least one representative to serve on the Events Committee.

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<sup>7</sup> Drawn from the Department of Sociology's "Statement on equity and inclusion" endorsed by faculty vote on 10/18/2019.

## H. AD HOC DEPARTMENT COMMITTEES

The Department also operates a number of ad hoc committees. These committees shall be constituted on an as needed basis and shall assist the Chair in carrying out the policies and responsibilities of the Department.

**1. Faculty Recruitment Committee.** After the Department has received approval to search for a new faculty member, this committee is created to solicit names of prospective faculty members, investigate their qualifications and contributions to inclusive excellence, undertake a preliminary screening, and to supply the faculty with a “shortlist” of possible candidates to invite for campus interviews. Committee members should avail themselves of training from Human Resources that outlines best practices of equity and inclusion.<sup>8</sup> All voting faculty are entitled to view the files of all applicants. The Recruitment Committee also makes recommendations concerning recruitment procedures internal to committee operations. Following campus interviews, the Committee should make hiring recommendations.

*a. Membership.* This committee shall be comprised of at least two faculty members appointed by the Department Chair.

*b. Student Representation.* Graduate students may elect one student representative to each Faculty Recruitment Committee. The student representative may review letters of reference for job candidates, but they will be instructed to treat them as confidential and not share information in the letters with others, including other graduate students.

*c. Voting on Short-list and Hiring.* Procedures are outlined in the Guidelines, Appendix VII.

**2. Faculty Reappointment, Promotion and Tenure Committees.** These committees shall be constituted on an “as needed basis” to conduct the business necessary for the reappointment, promotion and tenure of regular faculty in the Department. The Committee report on a given candidate should be made available to all voting faculty at least seven days prior to the faculty meeting in which the case will be discussed and voted on. Standards for Reappointment, Promotion, and Tenure for faculty rostered in the Department are presented in the Guidelines, Appendix I.

*a. Membership.* This committee shall consist of at least three members appointed by the Department Chair. In most cases only tenured faculty are eligible to serve on this committee, but Teaching Associate Professors who have been reappointed may be appointed by the Chair to sit on committees for non-reappointed Teaching Assistant Professors.

*b. Confidentiality.* All opinions and other discussions voiced by faculty about reappointment, promotion and tenure decisions are strictly confidential and should not be disclosed to anyone else, including (and especially) the affected person. In the letter

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<sup>8</sup> See <https://www.colorado.edu/hr/diversity-inclusive-excellence/diversity-search-hiring>

summarizing any Department votes taken on personnel issues, the Chair should include the full range of opinions discussed, although not with any information that can be used to identify whose opinion is being reflected. The Chair should also include their opinion on the reappointment or promotion decision in that letter.

**3. Other Ad Hoc Committees.** Other ad hoc committees may be appointed as needed by the Chair of the Department.

## **I. RELATIONSHIPS WITH OTHER UNITS ON CAMPUS**

The Department recognizes that members of its faculty are affiliated with other units on campus, e.g., the Institute of Behavioral Science, the Department of Women and Gender Studies, or the Program in Environmental Studies. It is the position of the Department to cooperate with other units on campus with which Department faculty are affiliated in order to further the good of the Department of Sociology and its faculty and students.

## **J. CHANGES IN THE STANDING RULES**

Adoption of and subsequent changes to the Standing Rules shall require two weeks written notice regarding the substance of the change. At least two-thirds of the faculty votes cast during the meeting in which the vote is taken must favor the change. The Executive Committee (or their designee/s) should prepare regular addenda to make sure these Rules stay consistent with ever-changing department procedures and College and University policies.

## APPENDIX I GUIDELINES FOR REAPPOINTMENT, PROMOTION, AND TENURE

The following pages state the policies and standards used by the faculty in the Department of Sociology in decisions affecting our colleagues regarding reappointment, tenure and promotion to Associate Professor (“P&T”), and promotion to the rank of Professor. This statement complies with policies of the Board of Regents as described in its Laws and Policies, and is consistent with the University of Colorado Administrative Policy Statement entitled “Standards, Processes and Procedures for Reappointment, Tenure, Promotion, and Post-Tenure Review.”<sup>9</sup>

For faculty undergoing comprehensive review, tenure review, and promotion to full professor, the Office of Faculty Affairs holds annual informational workshops to outline and review the campus procedures that surround these personnel changes and processes. These workshops typically take place in the Spring semester. Information is usually available at the Faculty Affairs website.

**1. Regents Laws and Policies.** Regents Policy 5.D.2 defines the basic requirements for reappointment, tenure, and promotion. These basic requirements cannot be overridden or superseded by departmental rules or interpretations.

The university requires comprehensive review at the end of the last appointment prior to a mandatory tenure decision. According to the Rules of the Regents, the comprehensive review involves full consideration of all credentials and can, if negative, result in the rejection of a faculty member for renewal of appointment. The primary 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 Regent’s Policy, the award of tenure, which is typically concurrent with promotion to associate professor, requires that a faculty member be able to demonstrate at least “meritorious” performance in research, teaching, and service, and “excellence” in either research or teaching. Promotion to the rank of full professor requires that a candidate have (1) a record that, taken as a whole, is judged to be excellent; (2) 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 emphasis) on one or the other; and (3) a record, since receiving tenure and promotion to associate professor, that indicates substantial, significant, and continued growth, development, and accomplishment in teaching, research, scholarship or creative work and service.<sup>10</sup>

The purpose of the departmental evaluation is to apply the general standards of performance in teaching, research, and service that are common in sociology departments at top Ph.D. granting state universities.

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<sup>9</sup> <https://www.cu.edu/ope/aps/1022> (accessed Sept. 15, 2021).

<sup>10</sup> <https://www.cu.edu/ope/aps/1022> (accessed Nov. 18, 2021).

**2. Allocation of Effort.** The standard allocation for the Department of Sociology is 40% teaching, 40% research, and 20% service. This standard allocation will be assumed to apply unless specific, written agreements are made to the contrary (agreements between the involved faculty member and the Chair that specifies the alternative allocation and the time period for which it applies); any such agreements must be reported to the Dean. The allocation of effort will be considered to apply as an average over the months of any given academic year.

**3. Philosophical Background.** The Department of Sociology includes faculty with a range of perspectives, and they may vary in their evaluation of candidates for tenure. We also recognize that there is not one single path to P&T; all members of our faculty have unique combinations of strengths and weaknesses, and each case is judged for promotion on its own merits. Consequently, what follows is a statement of general guidelines. Some faculty may disagree with some of the wording, and as a group we may vary in how these guidelines are interpreted and applied (e.g., what one faculty member sees as a “strong” contribution might be seen by another as “modest”).<sup>11</sup>

Because of this variation in perspective and other factors that enter into tenure decisions, pre-tenure faculty members are encouraged to consult regularly with the Department Chair and their mentors to discuss their progress toward tenure. The Department also recommends that untenured colleagues make full use of the Department’s strong mentoring program.

**4. Evaluation of Teaching.**<sup>12</sup> The Department of Sociology has collectively committed to developing scholarly, inclusive, and goal-oriented practices in teaching and using these as measures of effective teaching. Is the faculty member’s demonstrated performance in teaching consistent with the general standards for reappointment, promotion, and tenure as described by the Rules of the Regents? To assist faculty in answering this question, soon after beginning a tenure-track position, new faculty members should begin to build a teaching portfolio that will contain all written records pertaining to teaching performance (and any materials the person would like the tenured faculty to examine in evaluating teaching). Examples of what this portfolio might include are:

- a. Statements of teaching philosophy and self-evaluation of teaching;
- b. Faculty course questionnaires (“FCQs”) from all classes;
- c. Peer evaluations of teaching. Pre-tenure faculty (assistant professors) require three classroom observations with written reports on file prior to comprehensive review. It is important to complete observations early in the pre-comprehensive review stage where feasible, with the first observation taking place in the first year of teaching. However, this may be adjusted as necessary to accommodate those with reduced teaching loads. At least two of the required observations should be full peer course evaluations, as outlined in the [Quality Teaching Initiative documents](#). After comprehensive review, pre-tenure faculty should be observed at least once per year with at least one additional full peer course evaluation completed before tenure review. **Associate professors** should be observed at least once every other year until at least three reports

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<sup>11</sup> Candidates for reappointment and promotions might also want to peruse a useful book originally published by the American Sociological Association: Robert M. Diamond, *SERVING ON PROMOTION, TENURE, AND FACULTY REVIEW COMMITTEES: A FACULTY GUIDE*, 2<sup>nd</sup> Edition (2002).

are on file. At least one of the observations should be the full peer course evaluation. Thereafter the schedule can be more flexible and responsive to the needs of the faculty and department as a whole, keeping in mind that at least one observation close to the time of promotion review is desirable. **Teaching Assistant Professors** should be observed at least once per year and **Teaching Associate Professors** should be observed at least once every other year. **Lecturers, postdocs, and other ranks not included here** should be observed at least once in their first semester of teaching and then at the discretion of the chair. The frequency of observation listed here should be understood as the minimum requirement. Additional observations can be requested by the Department Chair. A faculty member may also request to be observed at any time, and the Department Chair is responsible for accommodating reasonable requests for observation, as personnel and schedules allow. It is the responsibility of the chair to initiate these evaluations;

- d. Examples of syllabi, examinations, class projects, and other items that reflect the quality of instruction;
- e. Descriptions of activities intended to improve classroom instruction (e.g., integration of technology; attendance at teaching workshops);
- f. Written statements that may have come from the Chair or others concerning willingness to teach needed classes or classes of a needed size, indicating special rapport with students, contributions to curriculum development, and so on;
- g. Unsolicited letters from students about teaching, and
- h. anything else relevant to teaching performance that the faculty member wants to include in the portfolio.

Beyond formal classroom teaching, the candidate may present evidence of supervising Independent Studies or individual research projects (e.g., work with Honors students, UROP, McNair Scholars Program), and whatever additional evidence of instructional activities that the candidate believes is relevant. In faculty evaluations, the publication of textbooks is considered part of teaching contributions.

Unless other written arrangements have been made by the candidate and Chair, all faculty should be active in the instruction of undergraduate and graduate students. In addition to teaching graduate seminars, this would usually include serving as Major Professor for graduate students, membership on graduate committees, development of the graduate curriculum in the person's specialty area, special symposia for graduate students (e.g., participation in Professionalization seminars), and, if appropriate, preparation and administration of comprehensive exams.

For reappointment in Sociology, candidates should have multiple measures of teaching effectiveness, including at least meritorious FCQ scores. They should also be working closely with two or more graduate students. If sustained for several years, this level of activity in a diversity of classes (plus active curriculum development) would typically enable an evaluation of "meritorious" teaching at the time of P&T. The case for "excellence" in teaching could potentially be made by additional teaching activities or awards, such as the receipt of grants to develop classroom pedagogy, programmatic curriculum development, publications on teaching (including textbooks), and the receipt of a major teaching award. Because the University of Colorado is a research university, it is extremely rare to obtain tenure solely on excellence in

teaching.<sup>13</sup>

For evaluation of overall excellence as is required for promotion to full professorship, the candidate should demonstrate sustained high-quality teaching activities, including leadership in the undergraduate and graduate program and appropriate mentoring of all undergraduate and graduate students in the program, especially his or her own students.

**5. Evaluation of Research.** For Reappointment decisions, candidates must show evidence that they have moved beyond the dissertation and have started a systematic research program of their own at the University of Colorado, and therefore work done as an Assistant Professor is given more weight than work produced before assuming a tenure-track faculty line. For P&T, candidates must show evidence of a program of scholarly research that has produced at least the beginnings of a national reputation for significant and creative scholarship. There must also be promise of continued growth, although candidates may demonstrate this growth in different ways. Some scholars find that their work is best suited to journal articles, whereas others prefer to focus their efforts on the publication of books. While this document provides general guidelines, each case will be assessed on its own merits.

For Assistant Professors who publish primarily journal articles as products of their research, a rough guideline for progress toward tenure would be two papers, on average, annually in blind peer-reviewed scholarly journals. Differentiation is made as to major national, major specialty, major regional, and other journals. Also, contributions to Sociology outlets are particularly important, although interdisciplinary journals, especially those with a social science focus, are appropriate for some research as well. Obviously, papers in top-tier journals are weighed more heavily than those in journals with lower visibility and book chapters. In addition, the number of coauthors and order of authorship has some weight. Work published as a graduate student is given less weight. Co-authoring with graduate students, in a mentorship capacity, is encouraged and may count as much as sole-authored papers. Depending on the quality of the papers and the visibility of the journals, the regular publication of articles in highly regarded peer-refereed journals annually during one's years as an Assistant Professor would be a good indicator that one's level of research fits into the category of "excellence." At the time of this writing in 2021, the department has a list of journal rankings, which are distributed with the annual merit worksheet, although we recognize that the quality of a paper is not always correlated with the ranking of the journal.

Some candidates for P&T will choose to produce fewer refereed journal articles and instead focus their energies in the publication of books. Generally, books are given more weight if they are published by prestigious presses and have received positive published reviews.

Also important in a given case may be successful competition for extramural funding. Grants are generally given more weight if they are obtained from national funding agencies, such as the National Science Foundation and the National Institutes of Health. Grants contribute to the overall reputation of the faculty, are another measure of contributions to the field, and are a

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<sup>13</sup> In recent years, only a small proportion (less than ten percent) of candidates for P&T in Arts and Sciences at the University of Colorado have been deemed "excellent" in teaching. Furthermore, some of these cases that earned excellence in teaching were also deemed excellent in research.

means of supporting research and graduate students. Further, external funding can be a useful means of support that will result in higher quality published research. Nevertheless, for untenured professors, successful publication remains more important than attracting external research funding.

Book chapters, non-refereed articles, on-line publications, and guest editorships of special issues of journals can be used to bolster this record, but will not justify P&T as a replacement for peer-reviewed publications. Regular participation and presentations at professional national and regional conferences is also expected.

There is not a single path toward research excellence. Instead, individuals will need to weigh the entire research portfolio, balancing the mix of articles, books, book chapters, and grants. Furthermore, the research record will be evaluated on the sociological contributions of the published work, including insight, creativity, innovation, and impact on the field. Several measures of the impact of the research to the sociological literature are: citations, book reviews, and published discussions of the research. Comparison of records to colleagues at similar stages of their careers at peer institutions and in the same subdiscipline is also very useful.

**6. Evaluation of Service:** Again, the pertinent question is whether the faculty member's performance is consistent with the general standards for reappointment, promotion, or tenure as described by the Rules of the Regents. In Sociology, we attempt to assign a reduced level of department service to untenured professors, although we cannot always do so.

Evidence of service consists of a description of service activities and their duration and significance. This service must include activities in the department, and may also include service to the college, university, or larger profession. Candidates should be able to demonstrate that they successfully completed all service assignments made by the Department Chair, and has, in general, demonstrated a commitment to make the Department of Sociology a better place for its faculty and students. Guest presentations to classes, to the department, and to the university may be considered part of service.

Examples of work that qualifies as service to the profession include editorial work, refereeing for journals or granting agencies (a log of papers reviewed, titles, and dates is recommended), membership in committees for professional societies, and organizing sessions at professional meetings. External service can also include activities involving specific professional expertise as applied to work by non-profit and government agencies. Further, outreach efforts that contribute to the visibility of the university are also important.

By the time of reappointment, candidates should demonstrate modest service activities commensurate with the service assigned by the chair, recognition of the wide range of departmental responsibilities, and regular participation with appropriate professional organizations. At the time of P&T, the candidate should have a record of participation in larger campus-wide activities, and increased participation in regional and national professional societies. By the time of promotion to Full Professor, the candidate should demonstrate respected and effectual leadership in at least one of these service levels.

## 7. Milestones for Evaluation

*a. Timetable for Reappointment, Promotion, and Tenure.*<sup>14</sup> 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 a comprehensive evaluation. A standard pattern would be for an assistant professor to receive an initial three-year appointment and, upon positive comprehensive review at the end of this first appointment, to receive a second appointment that would extend to the mandatory tenure decision.

According to Regent policy, tenure review is required by the end of the seventh year unless an extension has been approved by the Dean and the Chancellor (or the Chancellor's designee). Faculty members are typically evaluated for tenure early in the seventh year; the seven-year probationary period will include any years of credit toward tenure that are specified in writing at the time of hire. Only in the most unusual cases can tenure be awarded early. Because it is customary for review committees to apply standards strictly and without discounted expectations based on shorter time in rank, it is inadvisable for faculty members to seek early promotion unless there are compelling reasons to do so.

Typically, promotion to associate professor is considered simultaneously with the consideration of tenure, although in theory the two are separate decisions. Under unusual circumstances, individuals may be hired as associate professors without tenure (mainly because the University is reluctant to hire individuals without a probation prior to tenure), and, in this case, the issue of tenure is fully separated from the issue of promotion to associate professor. Associate Professors are welcome to name a "primary mentor" (or mentors) from among the full professors who can advise them on their professional progress, publication and grant plans, relations with the Chair or other department members, challenges in the classroom, and the like.

There is no mandatory point of decision for promotion to full professor. A customary waiting interval is approximately equal to the interval between the ranks of assistant professor and associate professor (approximately 6-8 years), because significant achievement is expected between ranks. In unusual cases, an individual can be considered for promotion to full professor after only a few years in rank as an associate professor, but this is not advisable on a routine basis because review committees can be expected to apply criteria strictly and without discount for shorter time in rank. In such cases, individuals who have questions about the timing of promotions should seek informal advice from the Chair and/or other senior faculty.

Any individual can ask to be considered for promotion and/or tenure at any time, and the request will be considered 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, their mentor/s, and/or other senior professors for informal advice.

*b. Departmental Review Process.* The process of personnel review begins for the Department with the Chair's appointment of an ad hoc "PUEC" (Primary Unit Evaluation

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<sup>14</sup>Information in this section is common to all departments and is not subject to departmental modification.

Committee), which performs two functions. First, if there is some doubt as to the likelihood of a favorable outcome, the PUEC may advise the candidate to withhold the case until more time has elapsed, except in the case of mandatory tenure decision or mandatory comprehensive review. The committee may give this advice either initially, or after accumulating information indicating that the case needs to be stronger to be successful. The candidate is not bound to the advice of the PUEC, however, and can proceed against it.

The second purpose of the PUEC is to solicit external letters of evaluation (for promotion and tenure cases) and to collect other confidential information that the candidate cannot collect independently. The candidate is responsible for physically assembling the bulk of the personnel file (e.g., supplying a statement of research, teaching, and service, course syllabi, copies of all publications), but can seek the help or advice of the PUEC as appropriate. Department staff will receive the file and will review it for completeness. The file should meet the requirements of the College of Arts and Sciences and of the Campus as outlined on specification sheets that are available from the Dean's office. It is the candidate's responsibility to see that the file is properly prepared, complete, and well-ordered, and that it has places for the insertion of confidential materials by the PUEC. It is the responsibility of the PUEC to obtain any additional information that it may require to make a complete presentation to the Department.

Following the assembly of all materials, the PUEC will have a final meeting in which it agrees upon its final report (or decides to file a "majority" and "minority" report). The committee also will assign to its members responsibilities for presentation of the case to the Department. The committee will make the entire file available on a confidential basis to those faculty eligible to vote on the case one week prior to the Department's discussion.

Discussion of personnel cases by the Department is announced in advance by the Department Chair. Usually the discussion is scheduled immediately following a regular faculty meeting, except under circumstances as determined by the Chair. The candidate for a particular decision will be absent on the day of discussion, and the PUEC will be asked to make a presentation. This will be followed by detailed discussion of the case by all faculty who are eligible to vote. This discussion is highly confidential and should never be repeated to others who are not eligible to vote on the case. When the Chair is satisfied that discussion is complete, there will be a vote by secret ballot. The right to vote is limited to those faculty members who have the professional status to which the candidate aspires, or a higher status. Only full professors would vote on the case of an associate professor being considered for promotion to full professor; only tenured faculty vote on P&T cases and on reappointments.

The Department Chair acts as an independent judge of the case. The Chair does not formally vote on the personnel decision except in cases of a tie, but does provide a critical evaluation of the case that may or may not support the faculty's vote. In a letter addressed to the Dean, the Chair reports the Department's vote, summarizes faculty discussion, and gives his or her independent opinion of the case.

***c. Review above the level of the Department.*** Following the Departmental vote, the candidate's file is sent from the Department to the Dean. The Dean refers the case to a standing College committee (Dean's Personnel Committee), which discusses the case and votes on it. 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, as well as reporting the vote and, if appropriate, the opinions of the Dean's Personnel Committee. The Dean is not bound to agree with the Dean's Personnel Committee, with the Department, or with the Chair.

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 relies heavily on the Vice Chancellor's Advisory Committee (VCAC), which considers all cases for comprehensive reappointment, promotion, and tenure. The VCAC discusses each case in detail and votes on the disposition of the case. 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 Provost. Beyond the Vice Chancellor's level, review occurs by the Provost, the President, and the Regents.

A negative decision by any level of review can be overruled by a positive decision at a higher level. For example, a negative decision by the Department could be overruled by the Dean or by the Vice Chancellor. Similarly, a positive decision at any level can 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. The rights of appeal for rejected candidates are outlined in the Faculty Handbook.

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 a review committee.

The candidate is directly advised through the Chair by the Dean's Office of all review committee decisions. In addition, the candidate will receive a copy of the letter that passes from the Dean to the Vice Chancellor and will be notified of the reasons for any negative action or concern on the part of the Vice Chancellor's Advisory Committee about degree of documentation.

Personnel cases are submitted to the College in the Fall semester of the year before they take effect. The order of preparation is typically by increasing rank: comprehensive review, promotion to associate professor with tenure, promotion to full professor. Individuals applying for P&T are advised to routinely collect and save information on their teaching, research and service from the time they start their appointments at CU. Typically, candidates begin preparing their files several months before they are due to the PUEC.

## APPENDIX II: ANNUAL FACULTY MERIT EVALUATION

**1. Annual Evaluation.** Every member of the faculty (including Teaching Assistant and Associate Professors ) in the Department who is eligible for annual merit raises shall be evaluated annually at such time as is determined by the College of Arts and Sciences. The Department will comply with evaluation criteria determined by the College. This annual review differs from FRPA (Faculty Report of Professional Activities), which is required by the Office of the Vice-Chancellor for Faculty Affairs. Materials submitted for the Departmental merit evaluation are used both to evaluate professional activities and for salary decisions. The Chair appoints two or three tenured faculty members to assist with annual evaluations (see 2A below).

**2. Period Evaluated.** The Department shall use the most recent three calendar years as the period for evaluating faculty in all areas – teaching, research, and service - during the annual merit evaluation exercise.

**3. Evaluation Process.** The Department provides each faculty member with a worksheet on which to enter activities to be evaluated for the given year. Members of the Merit Committee check submitted worksheets with the FRPAs for consistency.

**4. Material Evaluated.** Each faculty member being evaluated bears the sole responsibility for providing the Merit Committee with information pertinent to that faculty member's evaluation, and all faculty members must document materials related to their teaching (including [the Self-reflective teaching statement](#)), research, and service for the evaluation. The Merit Committee is not responsible for taking into account in the evaluation exercise information that has not been provided by an individual faculty member when that faculty member is being evaluated. All faculty members *must* submit a worksheet related to their teaching, research, and service.

**5. Differential Weights.** Differential weights will be given to teaching, research, and service according to the workload distribution (normally 40%, 40%, and 20%) averaged over the three-year evaluation period. There shall be a direct relationship between a faculty member's merit evaluation, weighted by workload distribution, and the merit salary recommendation. All faculty in the Department shall have the opportunity to renegotiate their workload distribution with the Chair of the Department prior to the beginning of any Academic Year.

**6. Special Merit Recommendations.** The Merit Committee may make special merit recommendations to the Chair. They may be based on career merit salary-equity adjustments (e.g., due to salary compression), especially outstanding performance during the evaluation period, or other factors based on a faculty member's merit. In turn, the Chair may submit the recommendation (with proper documentation) to the College. A brief explanation and documentation will accompany each recommendation to the College. If a special merit recommendation is made for more than one faculty member, a statement of the Department's funding priorities will accompany the recommendation when it is forwarded to the College.

**7. Salary Equity.** The Department Chair is responsible for maintaining salary equity and for

recommending adjustments for any inequities that exist. When carried out proactively, the Department will request assistance from the College for such adjustments.

**8. Salary Adjustments Basis.** The Department recognizes that awarding merit increases on the basis of dollars compresses the salary of faculty with higher ranks, and that awarding merit increases on the basis of percentages compresses the salary of faculty in the lower ranks. Consequently, total annual merit increases for tenured or tenure-track faculty is normally calculated 50 percent on the basis of dollars and 50 percent on the basis of percentages.<sup>15</sup>

**9. Evaluation Categories.** The Department Chair will rate faculty in terms of teaching, research and service and additionally provide an overall rating for each faculty member in one of the following categories:

*Unsatisfactory:* performance is detrimental to students, the Department, College, and /or the University;

*Below expectations:* performance is lacking and remedial action is recommended;

*Meets expectations:* performance meets basic expectations and the professional norm;

*Exceeds expectations:* performance exceeds what is expected and the professional norm;

*Far exceeds expectations:* performance is far beyond what is expected and the professional norm.

**10. Faculty Feedback.** The Chair shall report back to each faculty member in writing on the appropriate merit evaluation form regarding the rationale behind the merit evaluation judgments cast by the Merit Committee.

**11. Evaluation Guidance.** Evaluation draws on the worksheets for Teaching, Research, and Service, which allow each faculty member to list activities in these areas. A Merit Review committee, appointed by the Chair, reviews each faculty member's worksheet for accuracy. The points automatically assigned in the worksheets are totaled, and the totals are rated as follows:

<25 points: below expectations

25-34.99 points: meets expectations

35-119.99 points: exceeds expectations

- **Teaching**

Each faculty member receives a baseline 25 points for teaching the contractual course commitment. As the Merit Evaluation worksheet shows, various teaching activities including but not limited to new course development, teaching awards, graduate and undergraduate advising, review of Third Year Papers, grant proposals related to teaching, and pedagogical publications contribute additional points. Individual faculty members

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<sup>15</sup> This is usually modified in atypical cases; for example, a Teaching Professor who is an outstanding teacher (but with no research obligations) may receive a very high overall merit score, but this is not equivalent to a very high overall merit score for faculty who have research obligations.

can describe teaching activities not included on the worksheet. [The self-reflective teaching statement](#) should be included in the annual merit review (separate from the worksheet).

- **Research**

The research evaluation worksheet provides a range of points for journal articles, with highest points for first authorship in top ranked journals, and books, with highest points for books published by top academic presses. Books receive highest points for the first two years after publication but continue to receive points through six years after publication. Research presentations and other publications, such as chapters in edited volumes, have their own point designations. Grants are entered into the worksheet using a table that adjusts for status on the grant, with PIs receiving full points, co-PIs half the points of PIs. The table also includes information on the number of years the grant is being funded and the total number of dollars going to CU over the life of the grant. Individual faculty members can describe research activities not included on the worksheet.

- **Service**

The service evaluation worksheet provides points for various roles and activities in the Department, University, discipline, and community. These include, but are not limited to, conducting teaching observations, serving as director of a program or center, serving as editor or associate editor of a journal, reviewing article manuscripts and book proposals, reviewing grant proposals, and receiving awards for service. Examples of service commonly performed by Teaching Assistant and Associate Professors include organization of annual commencement activities, membership on the undergraduate and DEI committees, instructor hiring committees, and similar work agreed to by the Department Chair. Individual faculty members can describe service activities not included on the worksheet.

***d. Other***

All faculty members, regardless of rank, are expected to share in various activities of the Department. Some of these activities--preparation and grading of comprehensive exams, serving on oral examination committees, serving on thesis committees, and participation in the seminar program--are treated as areas of teaching. Participation in other Department and University committee work is encouraged for those with the relevant interests, and this type of work will be included in evaluation of a faculty member's work. Service to other entities, e.g., the State of Colorado or its communities, which is related to one's professional expertise, as well as service to professional organizations of academics and local, state, national or international committees charged with responsibilities requiring scientific expertise, will be taken into account. Faculty are encouraged to provide evaluations of their performance in such roles whenever possible.

### **APPENDIX III ANNUAL REVIEW OF THE CHAIR**

A review of the Chair shall be conducted annually in accordance with College policy. This review shall be performed by the members of the Executive Committee (excluding the Chair). The annual review of the Chair shall be conducted coinciding with the annual review of Departmental faculty.

The Executive Committee shall evaluate the professional and scholarly achievement (teaching, research, and professional service) of the Chair using the same procedures employed for faculty evaluations. The Executive Committee shall involve faculty in the evaluation of the Chair's departmental administrative service as follows.

The Executive Committee shall prepare a form to be used by members of the Department faculty for their evaluation of the Chair. The form shall have specific provision for evaluation of the Chair in at least but not limited to the following areas: (a) administration of the Department, (b) accomplishment of Departmental goals, and (c) adherence to the Department's Standing Rules.

A summary department review shall be compiled by the Executive Committee and distributed to the Chair of the Department, the Dean of the College, and any members of the faculty who request it.

## APPENDIX IV. FIVE YEAR POST TENURE FACULTY REVIEWS

The Department will adhere to all decisions by the Board of Regents, University, and College regarding the five-year post tenure reviews of faculty.<sup>16</sup> This review is conducted by the Executive Committee at the time of annual merit reviews.

The post-tenure review process begins with the award of tenure, and the first PTR occurs five years after the faculty member is continuously tenured; it continues to occur at five-year intervals unless a promotion review takes place. A promotion will re-start the PTR clock. These reviews are conducted by departments (i.e., primary academic units) and dean's offices, and submitted to the Office of Faculty Affairs. Faculty Affairs is charged with annual reporting of post-tenure review results to the University of Colorado System Administration.

The post-tenure review committee, appointed by the Chair, will examine at least the following:

- Five-year annual review history
- Five-year FCQ history
- Peer evaluations of teaching using the [Quality Teaching Initiative framework](#), and other multiple means of teaching evaluation, as available
- Professional plan(s) from last cycle (if required or provided)
- Updated professional plan for upcoming year (if required or provided)

The post-tenure review committee will pursue the following process:

- The committee writes a brief summary report that addresses the areas of scholarly and creative work, teaching (or librarianship), and leadership and service and assigns individual ratings for each area, as well as an overall evaluation rating as either outstanding, exceeding expectations, meeting expectations, below expectations, or fails to meet expectations. The committee submits the report to the faculty member for review.
- The faculty member reviews the report and approves or appends comments.
- The primary unit forwards the report and any comments to the dean.
- A copy of the report is placed in the faculty member's personnel file within the Dean's Office and the Office of Faculty Affairs.
- The dean reports to the provost (through the Office of Faculty Affairs) the annual PTR results. Faculty Affairs will prompt the reporting via email.
- Faculty members who fail to participate in any aspect of the post-tenure review process, as required, may be subject to sanctions for neglect of duty, which may include reduction in salary, reassignment of duties, unpaid suspension, or dismissal for cause.

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<sup>16</sup> See <https://www.colorado.edu/facultyaffairs/career-milestones/post-tenure-review> (accessed Sept. 22, 2021).

## **APPENDIX V. FACULTY GRIEVANCE PROCEDURES**

In the event that a faculty member has a grievance (including an evaluation or salary grievance), the faculty member may request and obtain a conference with the Chair of the Department which, when appropriate, will include other concerned parties involved in the grievance.<sup>17</sup> According to the “Professional Rights and Responsibilities of Faculty Members and Roles and Professional Responsibilities of Academic Leaders” document, such matters should be resolved at the lowest appropriate administrative level.

If the grievance cannot be resolved in this conference, the aggrieved party may request and obtain a hearing before the Executive Committee, and shall present in advance a written statement to the committee. Involved parties shall also be invited to this hearing.

If the grievance involves a merit or salary decision made by the Executive Committee, the decision can be appealed to an ad-hoc Committee consisting of the two elected members of the Executive Committee and one additional tenured professor appointed by the Chair. Those who prevail in a salary grievance will have their salaries adjusted as soon as possible (recognizing that such adjustments may not be possible until the following year). In that following year, the adjusted salary will be considered as the new base salary.

If the grievance cannot be settled by these means, the decision of the Chair and the Executive Committee may be appealed to the College.<sup>18</sup> Faculty considering filing a grievance should seek advice from (among others) other faculty (especially senior faculty), Faculty Affairs, Boulder Faculty Assembly, the Ombuds Office.

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<sup>17</sup> Please also see information from the Boulder Faculty Assembly’s Grievance Advisory Committee at <https://www.colorado.edu/bfa/committees/grievance-advisory-committee-gac-0> (accessed Sept. 26, 2021).

<sup>18</sup> See <https://www.colorado.edu/asfacultystaff/personnel/policies-procedures/staff-classified/grievances> (accessed Sept. 15, 2021).

## **APPENDIX VI STUDENT GRIEVANCE PROCEDURES**

In the event that a student has a grievance with a faculty member or instructor, and can neither negotiate nor resolve this grievance directly with the faculty member or instructor, the student shall arrange a conference with the Associate Chair for the Graduate Program (if the student is a graduate student), or the Associate Chair for the Undergraduate Program (if the student is an undergraduate student). At least 24 hours before the meeting, the student shall present the appropriate Associate Chair with a written statement of grievance. In accordance with A&S policy, all grade appeals must be submitted within 45 days of the end of the academic term in which the grade was awarded.

The Associate Chair shall then consult the faculty member or instructor involved in the grievance, document the position of the faculty member or instructor, and then either adjudicate the case or request a meeting of the student and faculty member or instructor involved to obtain additional information before then adjudicating the case.

If the student is not satisfied with the decision made by the Associate Chair, he/she may appeal to the Department Chair, who will follow procedures outlined by the College of Arts and Sciences.<sup>19</sup>

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<sup>19</sup> *See*

<https://www.colorado.edu/policies/student-appeals-complaints-grievances-brief-guide> (accessed Sept. 15, 2021).

**APPENDIX VII**  
**GUIDELINES RELEVANT TO HIRING**  
**OF TENURED OR TENURE TRACK FACULTY**

**1. Selection of Candidates for Campus Interview.** The Faculty Hiring Committee will present up to 5 candidates it recommends for campus interviews. Any faculty member can add names after reviewing the material of prospective candidates, but the faculty should be informed at least 24 hours before a vote is taken so everyone can familiarize themselves with the candidate's file. Persons to be invited to campus are selected as follows:

a. A vote is taken on whether a given candidate is *acceptable* to the department. Those who do not achieve 60% acceptable votes are eliminated from further consideration.

b. In order to select candidates for campus interviews, the ballot lists all acceptable candidates. Each eligible voter scores all acceptable candidates, giving the top candidate a score of 1, the next a score of 2, and so on, until all candidates are scored. Faculty members must assign each candidate a unique score; no ties are allowed. Ballots will be disqualified if they do not provide unique scores or do not score every candidate. Candidates are ranked on this score and the lowest-scoring individuals are invited, the number depending on available funding for visits. If there is a tie for the last visiting position, the pairwise comparison is examined and the person who is preferred in this comparison is given the last visiting position. If there is a tie in this case, a second ballot is taken that lists just the tied candidates. Eligible voters cast a vote for their preferred candidate. If there is a tie, the Chair then votes.

**2. Selection of candidates to whom a position will be offered.** A similar two-stage procedure will be followed.

a. A vote is taken on whether a given candidate is *acceptable* to the department. Those who do not achieve 60% acceptable votes are eliminated from further consideration.

b. In order to rank the acceptable candidates, the following procedure is used:

- i. The ballot lists all acceptable candidates. Each voter ranks the k qualified candidates. That is, each voter ranks the alternatives from most preferred (1) to least preferred (k). Ties are permitted. A voter need not rank all k qualified candidates, but may abstain for one or more candidates.
- ii. Using these rank orders, the election judge will determine the outcome of all pairwise comparisons.
- iii. The candidate to whom the first offer will be made is the one who defeats all other candidates in these pairwise comparisons. The second place alternative is the person who defeats all candidates other than the winner, and so forth.
- iv. This procedure, known as true majority rule (TMR), will usually yield a winner. If it does not due to a failure of transitivity (e.g., A defeats B, B defeats C, and C defeats A), the ballots will be scored using the same kind of rank order voting as in 1b. In this case, the missing score for

a person who abstained from voting for a particular candidate will be replaced with the average score given by those who ranked the candidate.

- v. If neither true majority rule nor rank order voting determines a winner (due to a tie in the number of points obtained by several different alternatives), the chair will decide among the candidates who are tied for the lead. Chair voting will be necessary only very rarely, but with this supplementary provision a ranking of candidates will always be determined.

## **APPENDIX VIII: COURSE BANKING**

The Department shall operate within the spirit of differentiated workloads in the College to offer faculty the opportunity to “bank” courses within their normal teaching assignments.

- Courses may be banked but not borrowed, i.e., the overload must be taught in advance of the reduced load, not vice versa.
  
- Banking may be done only for purposes of enhancing the ability of faculty to engage in scholarly work or service. It may not be used solely for personal reasons other than health or family leave.
  
- The Department’s curricular needs must be met.
  
- Banking should be done in moderation. It should be used only for special needs.
  
- A faculty member may use banking to produce a semester that is free of classroom teaching. However, the faculty member must remain on campus during that semester unless justified by their scholarly work, e.g., field studies, need to use library facilities elsewhere, etc.
  
- Summer school courses may be banked for use in the academic year only under very special circumstances because it involves having tenure-track faculty teach during the summer in lieu of the academic year and because enrollments tend to be lower during the summer.
  
- Banking courses during fall semester is preferred to banking in spring semester because teaching needs are greatest in fall due to higher enrollments. Likewise, it is preferred that banked courses be cashed in during spring semester.
  
- All course banking requires prior approval of the Executive Committee, the Chair of the Department, and the A&S Dean’s office.<sup>20</sup>
  
- Only one semester’s worth of courses may be banked at a time.
  
- Courses may be banked for no more than two years.

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<sup>20</sup> The course banking form can be found here: <https://www.colorado.edu/asfacultystaff/personnel/policies-procedures/faculty-regular-tenure-tenure-track/course-banking> (accessed Oct. 3, 2021).

## **APPENDIX IX: MENTORING PLAN FOR ASSISTANT PROFESSORS AND TEACHING ASSISTANT PROFESSORS**

The intent of this document is to respond to the requests by various Assistant Professors and Teaching Assistant Professors in our Department to improve our mentoring of junior faculty.<sup>21</sup> The paragraphs below suggest a more FORMAL system of mentoring, which, in operation, will operate very INFORMALLY and uniquely, depending on the needs and wishes of the individual mentee. To begin, all Assistant Professors will select one or two tenured colleagues to serve as his or her mentor(s).

**1. How Mentors are Selected or Changed:** The mentor/s will be selected by the Assistant Professor, in consultation with the Chair, during their first semester at CU, but the mentor/s can be changed at any time the Assistant Professor chooses. Mentor/s are chosen because their research interests overlap with those of the Assistant Professor and/or for their ability to provide wisdom and advice in a wide array of issues related to professional development. Faculty with joint appointments should select their mentor/s after consulting with the Chair or Director of both units.

**2. What is Expected of the Mentor:** The mentor would be expected to take an active interest in the career of the junior faculty member, and to maintain regular informal contact with her or him. The mentor is expected to clarify questions about tenure and promotion standards, and may aid in the preparation of grant proposals, research articles, and classroom activities. The mentor is expected to help the Assistant Professor choose between various professional development opportunities that may present themselves. The mentor is expected to give advice on publication outlets (e.g., a refereed journal vs. a book chapter), and on which types of journals might be most interested in considering the Assistant Professor's work for publication. In some cases, the mentor and mentee might work together to develop a "Three Year Plan" or "Five Year Plan" that would outline yearly goals that, if met, would likely result in P&T. The mentor also helps the Assistant Professor gain entree into the national and international network of scholars in the latter's scholarly area. Finally, if the Assistant Professor is having problems with the Chair or other faculty, the mentor would be available for advice or even to facilitate peaceful resolution of differences.

**3. The Mentor in the Classroom:** At least once per year, if requested by the Assistant Professor, the Mentor or some other faculty member selected by the Mentor and the Assistant Professor would be available to visit the latter's class, examine the syllabus and course materials, give constructive feedback, and provide a written assessment (or "peer evaluation") of the teaching to the Department Chair. Annual written evaluations, it is hoped, will allow the senior faculty to chart improvements in teaching that may occur during the untenured years, and the annual written documentation may be of use at T&P time when the Department tries to make a case for excellence in teaching. The Mentor should also be available to help the Assistant

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<sup>21</sup> All faculty members (including Teaching Professors) should seek out and take advantage of mentor programs outside of the department. See the resources available in Faculty Affairs, <https://www.colorado.edu/facultyaffairs/development-support>

Professor struggle with various problems and challenges that arise from the teaching responsibilities, and should inform the Assistant Professor about what types of resources are available on campus to help develop teaching skills.

**4. Evaluation:** In the Spring, when all untenured professors meet with the Chair to review progress toward P&T, input from the mentor might also be useful to both the Chair and the Assistant Professor. Indeed, that meeting might give all the opportunity to evaluate the mentoring process itself, and modify it in any ways that may help the Assistant Professor find it more useful. In the end, as stated above, the mentoring process is one that we hope will reduce the levels of anxiety inherent in being an Assistant Professor, and assist our untenured colleagues with their efforts to earn P&T.

## **APPENDIX X: GUIDELINES FOR UNDERGRADUATE INDEPENDENT STUDY**

Independent study is an opportunity for students to earn academic credit for doing research outside of the formal classroom structure. Faculty of the Department are under no obligation to accept independent study students.

**1. Independent Study Policy and Procedures of the Department of Sociology**, to which all independent study courses must adhere, follow.

- A minimum of 25 hours of time is required for each semester hour of credit.
- Independent Study credit may not be awarded retroactively.
- Independent Study credit must be registered for prior to the add deadline.
- Independent Study will not be allowed for internship type experiences or for work assisting staff in university departments.
- Independent Study cannot be used to substitute for a particular course or College or core requirements
- Independent Study may be acceptable under the following conditions (subject to Departmental discretion): (1) work completed elsewhere (e.g., out of state if the Independent Study is developed in advance), (2) Volunteer work, when it is part of and germane to the independent research project, (3) Work in business, when it is part of and germane to the independent research project, (4) Extra research undertaken in association with a regular class if an Independent Study agreement is developed before the start of the class, (5) Research assistance provided to a faculty member in conjunction with a new or ongoing professional project.

**2. Maximum Hours of Independent Study Credit Allowed**

- 16 credits toward a degree
- 8 credits in a single department and 6 in any one semester.

## **Appendix XI**

# **PROCEDURES FOR PROMOTION TO TEACHING ASSOCIATE PROFESSOR <sup>22</sup>**

In recognition of the crucial role played by Teaching Professors in the Department of Sociology and the College of Arts and Sciences (A&S) at the University of Colorado Boulder, this document is designed to both acknowledge that effort and to identify clear criteria in Teaching and Service for Promotion to Teaching Associate Professor (formerly “Senior Instructor”).

### **Eligibility**

Teaching Assistant Professors are eligible to apply for promotion to Teaching Associate Professor after a period of seven years of appointment at greater than 50% time (minimum of four years within the Department).

Promotion requires an application and approval by the department and A&S.

### **Requirements**

Demonstration of superior or better in teaching and at least meritorious in service in relation to contractual obligations.

### **Standards of Performance**

1. Proven skills in course design and curriculum support including preparing a variety of courses and supporting core and major curricula through course design and delivery.
  2. Consistent ranking of superior or better in teaching and meritorious in service based upon multiple measures of teaching, including FCQs, student letters, peer evaluations, annual merit assessments, and/or teaching or service awards.
  3. Participation in service at the department and university levels demonstrated through involvement in key department processes, availability for and fulfillment of service assignments that meet department and university needs, and exceeding expectations on one or some combination of the following paths:
    - A) Regular attendance at faculty meetings;
    - B) Record of mentoring undergraduate students through efforts such as directing honors theses and independent studies, providing letters of recommendation and professional support to current and former students, and mentoring graduate students through efforts such as supervision of teaching or research assistants; and/or
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- C) Professional society contributions through conference participation and leadership roles; and/or
  - D) Community service through board membership, committee membership, mentoring and recruitment, and/or providing professional expertise and consulting to community organizations and groups.
4. Demonstrated commitment to professional development in teaching, mentoring, and service as evidenced through a variety of possible activities such as participating in department colloquia in specialty areas, taking part in University or A&S teaching workshops, attending trainings, attending or presenting at professional conferences, publishing in teaching journals or other scholarly outlets, preparing new courses, and/or revising and updating courses regularly.

### **Timeline, Requirements, and Procedures**

May: Teaching Assistant Professors notify the Chair of the Department of Sociology and A&S Personnel Administration plans to apply for promotion to Teaching Associate Professor.

June–August: Applicant meets with the department chair and prepares dossier.

Sept 1: Applicant submits materials to the Sociology department chair. All materials should be in electronic format. Materials must include:

1. Cover Page to Include: Candidate Name, Years in Rank, Summary of Contractual Obligation and Percent Expectations (e.g., 90% Teaching, 10% Research)
2. Teaching Statement
3. Service Statement
4. Current Vitae (including all courses taught in the rank of Teaching Assistant Professor, including semester taught and number of students enrolled)
5. Syllabi and Assignments for the review period
6. Multiple measures of teaching as associated with the criteria outlined above. These may include non-peer review colleague observation letters, student letters solicited by the applicant, copies of publications, classroom interviews conducted by the Faculty Teaching Excellence Program selected assignments demonstrating pedagogical approach, and other items of applicant's choice.
7. Any other background information that the candidate believes will be useful in evaluation.

The Department will provide:

1. Peer observations from preceding years of current appointment

2. Student letters solicited by department
3. FCQs since initial appointment (or at a minimum, the four previous years)

During September: Primary Unit Evaluation Committee (PUEC) reviews all of the applicant's materials and provides a detailed summary and recommendation.

October 1: Department Office reviews dossier for completeness (PUEC report, applicant's statements and supporting materials, FCQs and program-solicited letters)

Mid-October: Dossier reviewed by Sociology tenured and tenure track faculty and formal vote for promotion will be held. Chair drafts letter that describes process, outcome of vote, and an independent statement on the application.

November 1: A&S deadline for submission of promotion materials.