MEMORANDUM

TO: University Stakeholders

FROM: Vice President Michael Lightner

DATE: April 8, 2019

SUBJECT: 2018 Report on Non-Tenure-Track Faculty (NTTF)

The report on Non-Tenure-Track Faculty is provided every two years by the University of Colorado Office of Academic Affairs in collaboration with the campus Provosts. All campuses share the goals of improving conditions for NTTF at CU and advancing NTTF contributions to the university. The biennial report captures the current state of NTTF on each campus.

The first report, issued in 2001, related progress in implementing recommendations of the 1999 ad hoc committee on non-tenure-track faculty (NTTF). The original recommendations were endorsed by the Regents, each Faculty Assembly, the Faculty Council, and the President's Office. The campuses prepared follow up reports in 2003, 2005, and 2008.

The Faculty Council and the System Office of Academic Affairs believe that the process of reporting on NTTF conditions contributed to system-wide improvements. Changes adopted by all campuses rendered the original set of questions and goals outdated. In 2009 the Faculty Council worked with the System Office of Academic Affairs and Provost Offices to update the report template in order to respond to the changes that had occurred over the previous ten years and to continue to solicit relevant and useful information. Reports issued since 2010 reflect those changes.

Campus reports include information on policies and procedures related to NTTF titles, contracts, and workloads; evaluation and promotion; compensation; and professional development, recognition, and grievance.

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University of Colorado
Colorado Springs

UCCS 2018 Report on Non-Tenure-Track Faculty

NON-TENURE TRACK FACULTY REPORT
2018
University of Colorado Colorado Springs

Preface

In the spring of 2001, the CU campuses provided the Board of Regents with a progress report on the implementation of recommendations issued by a 1999 *ad hoc* committee on non-tenure-track faculty (NTTF). The recommendations were endorsed by the Regents, each Faculty Assembly, the Faculty Council, and the President's Office. Since the original 2001 report, the campuses have provided updates on a biennial basis. The goals of the reporting process are to improve conditions for NTTF at CU and advance NTTF contributions to the university mission.

Section A.   Titles, Contracts, and Workloads

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. What titles are in use for NTTF?

    Lecturer, Instructor, Senior Instructor

    Assistant Professor-Clinical, Associate Professor – Clinical Teaching Track

    Professional Research Assistant, Senior Professional Research Assistant, Research Associate, Senior Research Associate, Assistant Professor - Research, Associate Professor – Research, Professor-Research

2. Are policies and procedures in place for initiating and reviewing NTTF contracts? If so, please summarize them.

    Multi-year contracts for non-tenure track faculty holding half-time (.5) or greater appointments may be awarded at the campus level per Campus Policy 200-022 "Non-Tenure-Track Faculty Multi-Year Contracts and Letters of Intent" (2015). These multi-year contracts were initially arranged with 8 non-tenure track faculty members in 2013-14; one retired and 7 multi-year contracts were renewed for an additional 3 years effective 2016-17. An additional person has since retired and 6 faculty currently hold these contracts through 2018-2019.

	Lecturers	Instructors, Research and Clinical Faculty
Beth-El	Chairs select and extend offers to lecturers using a campus template available on HR website: letters are reviewed and approved by the dean	Dean and chair request search, authorization by provost and chancellor; letters use campus template, posted on campus HR website, approved by dean, provost and chancellor; Outlined in college Faculty Handbook

Business	Chairs select and extend offers to lecturers using a campus template available on HR website: letters are reviewed and approved by the dean.	Dean and chair request search, authorization by provost and chancellor; letters use campus template, posted on campus HR website, approved by dean, provost and chancellor. A new NTTF faculty member is typically hired as an Instructor. Contracts for Instructors and Senior Instructors are reviewed on an annual basis. The college has regularly provided Letters of Continuation.
Education	Chairs select and extend offers to lecturers using a campus template available on HR website: letters are reviewed and approved by the dean.	Dean requests search, authorization by provost and chancellor; letters use campus template, posted on campus HR website, approved by dean, provost and chancellor. A new NTTF faculty member is typically hired as an Instructor. The mentoring of non-tenure track faculty in the college has included sharing the relevant policies and procedures. COE has not regularly provided Letters of Continuation due to transition in Human Resources personnel and leadership of the College. However, this is a commitment by the current COE leadership to engage in this practice. We will seek to provide continuation letters by June 1.
Engineering	Chairs select and extend offers to lecturers using a campus template available on HR website: letters are reviewed and approved by the dean	Chair requests search, authorization by dean, provost and chancellor; letters use campus template, posted on campus HR website, approved by dean, provost and chancellor. The college has regularly provided Letters of Continuation
LAS	Chairs select and extend offers to lecturers using a campus template available on HR website: letters are reviewed and approved by the dean	Dean and chair request search, authorization by provost and chancellor; letters use campus template, posted on campus HR website, approved by dean, provost and chancellor. Continuation letters are provided by June 1.
SPA	Dean selects and extends offers upon recommendation of program directors using a campus template available on HR website. Lecturer letter of offer is for specific semester and course.	Dean requests search, authorization by provost and chancellor; letters use campus template, posted on campus HR website, approved by provost and chancellor. Follow Regents Law re faculty titles. For new hires, based upon position description and qualifications. Promotions follow unit criteria. Would send notice of intent not to continue per campus deadlines & template if applicable. Continuation letter is sent by June 1.

Library	Lecturers receive letter of offer. Dean selects and extends offers using a campus template available on the HR website.	As faculty positions become open, the Dean discusses the open position with the supervisor and associate dean. Together they make a decision whether the position is NTTF or TTF. In general, Library faculty positions are TTF, but at times a NTTF position may be considered to better serve the needs of the department. All part time and short-term positions are hired as either lecturer or instructor. If a part time NTTF position becomes full time and there is a growing need for the position to be longer term, the supervisor and the Dean discuss with the incumbent the option of turning the position into a TTF line. If the incumbent does not want to assume a TTF line, the position is left as NTTF. Dean requests search, authorization by provost and chancellor; letters use campus template, posted on campus HR website, approved by provost and chancellor. Policies regarding this process are found in the Library's "x" files and can be obtained from the Library HR Professional. A Letter of Continuation is provided only in cases where the position is not considered permanent (see above discussion of appointment processes).

3. Are workloads specified for each job title? If so, what are those workloads?

	Lecturers	Instructors, Research and Clinical Faculty
Beth-El	100% teaching	Published college Faculty Handbook specifies 4/4 teaching load is full-time for faculty teaching courses (vs research and/or clinical practice assignments); variances in letter of offer, approved by dean. Typical assignment: 80% teaching/20% service. Clinical Teaching Track typical workload is 40% Teaching, 20% Service, 20% Scholarship, 20% Practice but this can vary based on college need and approved FRS.
Business	100% teaching.	Published college policies specify 4/4 teaching load is full-time; Instructors and Senior Instructors: 80% teaching, 10% maintenance of currency in field, 10% service. Teaching load is specified in offer letter.
Education	100% teaching	Letters of Offer and published college policies specify typical 4/4 teaching load is full-time;

		typical assignment: 80% teaching/20% service. The College of Education utilizes Faculty Responsibility Statements (FRS) to document agreements for differentiated workloads.
Engineering	100% teaching	Published college policies specify 4/4 teaching load is full-time; Instructors and Senior Instructors: 80% teaching, 20% service, except when varied in letter of offer
LAS	100% teaching	College policies (available in dean's office) specify 4/4 teaching load is full-time; Instructors and Senior instructors: varies by department: teaching: 80%-100%, service 5-20%; Specified in individual faculty member's letter of offer; may be adjusted through the annual workload plan
SPA	100% teaching	Published college policy on NTTF mandates development of individual workload agreements; Actual range: teaching 70-80%, service 20-30%
Library	100% Librarianship.	Library NTTF are included in the Criteria, Standards and Procedures for Appointment, Reappointment, Promotion, and Tenure (Revised September 2015). Published policies govern across TT and NTT categories. Instructors and Senior Instructors are 50-90% Librarianship, 0-10% Research and Creative Activity, 10-20% Service, and 0-20% Professional Practice.

Section B.   Evaluation and Promotion

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. What policies and procedures are in place to ensure systematic evaluation of NTTF? If so, please summarize them.
2. How frequently are these evaluations conducted?

	Lecturers	Instructors, Research and Clinical Faculty
Beth-El	Lead Faculty and/or Chair's responsibility, not reviewed otherwise	Please see college Criteria, Standards and Evidence for Appointment, Reappointment and Promotion for Non-Tenure Track and Clinical Teaching Track Faculty.

Business	Chair's responsibility, not reviewed otherwise	College policy governs process for annual merit evaluation for all faculty; college committee assigns ratings, dean reviews
Education	Chair's responsibility, not reviewed otherwise	The College of Education will be undertaking a review of the annual evaluation process and the time line for completing. Transitions in Human Resources personnel and leadership make this an opportune time for the review. We do conduct annual evaluations and guidelines exist for promotion from Instructor to Senior Instructor.
Engineering	Chair's responsibility, not reviewed otherwise	College policy available on website governs process for annual merit evaluation for all faculty; chair assigns rating, dean reviews
LAS	Chair's responsibility, not reviewed otherwise	All - faculty subject to annual merit review; for NTTF, chair assigns rating based on self-evaluation. A college-level review committee of instructors – the Dean's Instructor Review Committee (DIRC) reviews the self-evaluation and chair's rating.
SPA	Program director's responsibility, not reviewed otherwise (Noted in the Program Director Job Description)	Annual merit review based on professional development plan conducted by associate dean or program director, as detailed in published school NTTF policies and procedures. (SPA Policy 200-002)
Library	If Lecturers are employed for the duration of the evaluation period, they are evaluated the same as Instructors, Senior Instructors, and TTF.	Annual evaluations are conducted for all library faculty. The library is both the primary unit and the "college." The evaluations are completed by supervisors, reviewed and signed off by the Dean, but are kept in-house.

3. Are there policies and procedures for promotion within and between appropriate title categories? If so, please summarize them.

	Lecturers	Instructors, Research and Clinical Faculty
Beth-El	No. May be 'converted' to instructors based on teaching load or selected in search for open position	Policies written in published Criteria, Standards and Evidence for Appointment, Reappointment and Promotion for Non-Tenure Track and Clinical Teaching Track Faculty: Chair recommends based on teaching and clinical experience
Business	No. May be 'converted' to instructors based on teaching	The college has a policy that specifies how an Instructor may be promoted to Senior Instructor. The policy governing promotion

	load or selected in search for open position	from Instructor to Senior Instructor is available on internal college intranet.
Education	No. May be selected in search for open position	Guidelines for promotion from Instructor to Senior Instructor are included in the College's Reappointment, Promotion, and Tenure document.
Engineering	No. May be 'converted' to instructors based on teaching load or selected in search for open position	Documented in college policy and primary unit criteria, available to all faculty; Criteria vary by department
LAS	No. May be 'converted' to instructors based on teaching load or selected in search for open position	Practice documented in dean's office: 5 years as instructor, positive annual merit evaluations, significant teaching accomplishments and chair's recommendation. List of faculty eligible for promotion is sent to Chairs and Directors each Spring.
SPA	No. May be 'converted' to instructors based on teaching load or selected in search for open position	School-wide NTTF policy document contains policy: 5 years as instructor, substantial success in teaching. (SPA Policy 200-001)
Library	N/A	Documented in primary unit criteria, available to all faculty: Based on qualifications and experience

Section C. Compensation and Benefits

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. At what percentage of FTE are the NTTF holding various titles eligible for benefits?

   (The 1999 NTTF Recommendations set the goal that "Each primary unit determines what a full-time workload is for its NTTF, and that 50% workload be understood to be half of that departmentally-determined full-time load.")

2. How are the policies and procedures related to compensation and benefits made readily accessible to NTTF, their supervisors, and relevant staff?

	Lecturers	Instructors, Research and Clinical Faculty
All colleges	Policies are outlined in the Letter of Offer template. Human Resources has additional information regarding medical-only benefits under the Affordable	50%; Eligibility is explained in body of letter of offer template. Benefits are outlined on campus HR website, with references to system benefits website, as well as noted in the Letter of Offer template.

	Care Act for those lecturers who have worked 1560 hours in a year.	
Beth-El	HR liaison in college does quality control on this policy since all letters of offer are automated and centralized.	50% FTE or greater; Eligibility is explained in body of letter of offer template. Benefits are outlined on campus HR website, with references to system benefits website.
Library	Lecturers are not eligible for benefits.	Instructors and Senior Instructors who are .5 FTE are eligible for benefits. Policies are found on the Library's "x" files and can be obtained from the Library HR Professional.

Section D.   Professional Development, Recognition, and Grievance

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. What opportunities and types of support are available to NTTF for professional development?

	Lecturers	Instructors, Research and Clinical Faculty
Beth-El	Opportunity to attend department, college and campus events. Group faculty development offered on a semester by semester basis.	Available on a limited basis to TT and NTT faculty, with a priority given to pre-tenure faculty. Department chairs are creative with developing group faculty development, using conferences as an incentive.
Business	Opportunity to attend department, college and campus events	Provided through annual professional development plan process per published college policy; college committee reviews requests and awards available funds
Education	Opportunity to attend department, college and campus events	Each faculty member provided a minimum of $500 per year regardless of TT status
Engineering	Opportunity to attend department, college and campus events	Opportunities available at both department and college level, but no dedicated funding set aside specifically for NTTF
LAS	Opportunity to attend department, college and campus events	NTTF eligible to apply for professional development grants at college level; Departments also provide funding as available; College has faculty development web site that includes NTTF where upcoming training activities, important documents (for NTTF), links to other campus entities offering services and special Shared Expertise, Enrichment and Development (SEED) events are featured

SPA	Opportunity to attend department, college and campus events. Access to teaching training including Learning Management System and other pedagogical needs is provided through the SPA educational technologist.	Opportunity to attend school & campus events. Access to teaching training including Learning Management System and other pedagogical needs is provided through the SPA educational technologist. Each instructor and senior instructor receives $500/year for professional development.
Library	Lecturers can take part in on-campus and in-library professional development offerings.	NTTF have access to travel and development funds, currently $500/year.

2. How are NTTF recognized for excellent performance? For instance, are there any awards or other public expressions of appreciation for contributions to the University's mission?

	Lecturers	Instructors, Research and Clinical Faculty
Beth-El	No specific department or college recognition.	Annual college Outstanding Instructor award, merit review.
Business		Annual college Outstanding Instructor award
Education		Annual college Outstanding Instructor award
Engineering	Annual Part-time Faculty award and Online Lecturer Award	Annual college Outstanding Instructor award
LAS	Annual Part-time Instructor award	Annual college Outstanding Instructor award
SPA	Program Directors recognize outstanding teaching performance each semester based on a review of FCQs	Annual college Outstanding Instructor Award
Library	None other than annual letter from the Dean	Informal recognition for specific activities for all library faculty and staff at monthly staff meetings. There are no formal recognition programs other than for longevity. Previous dean instituted an annual letter.

3. Are there policies and procedures for addressing grievances by NTTF? If so, please summarize them.

Beth-El	Criteria, Standards and Evidence for Appointment, Reappointment and Promotion for Non-Tenure Track and Clinical Teaching Track Faculty grievance process for NTT faculty. In addition, all instructors fall under the system-wide faculty grievance procedures.

Business	No specific college grievance policy. All instructors fall under the system-wide faculty grievance procedures.
Education	No specific college grievance policy. All instructors fall under the system-wide faculty grievance procedures.
Engineering	No specific college grievance policy. All instructors fall under the system-wide faculty grievance procedures.
LAS	No specific college grievance policy. All instructors fall under the system-wide faculty grievance procedures.
SPA	Published school NTTF policies and procedures include NTTF in SPA general faculty grievance process. All instructors fall under the system-wide faculty grievance procedures.
Library	Annual evaluation policy allows for disagreement, along with salary grievance policy. Otherwise faculty have recourse to general university grievance policies.

CU-Boulder 2018 Report on Non-Tenure-Track Faculty

To: Michael Lightener, Vice President, Academic Affairs

From: Jeff Cox, Vice Provost and AVC for Faculty Affairs, UCB

Subject: Report on Non-Tenure Track Faculty

Date: 10 August 2018

I am providing here the report of the University of Colorado Boulder on Non-Tenure-Track Faculty. I will provide a campus-level overview; I am attaching the various reports of the schools and colleges at the University of Colorado Boulder to the questions issued for the campuses' biannual Report on Non-Tenure-Track Faculty. Each dean's office has answered the questions as they pertain to the particular unit.

The Office of Academic Affairs, through the Office of Faculty Affairs (OFA), oversees the use of non-tenure-track titles to insure that they are employed correctly according to the policies and rules of the University. The OFA website contains definitions of all faculty job titles used on campus with links to system policies. Of the various non-tenure-track job groups, full time instructors must have their letters of offer approved by OFA; more detailed information on matters related to instructors are included on the OFA website. Offer letters for other non-tenure-track titles only need the approval of the dean. In the case of the large body of research faculty, that approval occurs in the office of the Vice Chancellor for Research and Innovation, though research faculty who carry professorial titles are also reviewed by OFA.

The Boulder Campus continues to work to address the status of non-tenure track faculty. Over the last few years, the Office of Academic Affairs has worked with the Boulder Faculty Assembly to maintain cross-college standards for the appointment of instructors and for the differentiation between instructors and lecturers and to improve the working conditions and professional situation of instructors who are on multi-year contracts.   In 2008, the provost issued a document "Academic Affairs Takes Action on BFA Instructor Task Force Recommendations" that responded to ideas posed by the faculty (https://www.colorado.edu/facultyaffairs/sites/default/files/attached-files/academic_affairs_instructor_response_aug_2009_remediated.pdf). The Boulder Faculty Assembly created a second task force in 2010 which issued a set of recommendations. Academic Affairs responded to that report in detail; those responses form the basis for ongoing conversations with a newly formed BFA committee on instructors. As part of the OFA response, the deans and the provost also adopted "The Boulder Campus Guidelines for the Appointment, Evaluation, and Promotion of Lecturer and Instructor Rank Faculty" which was revised most recently last year (https://www.colorado.edu/facultyaffairs/sites/default/files/attached-files/lecturer_instructor_appointment_evaluation_promotion_guidelines_2017_revisions_remediated_091917.pdf). Most recently, OFA, the Council of Deans, and BFA have created an honorific rank of "Teaching Professor" and the first class of recipients has been named.

Through these policies and the work of OFA, Academic Affairs seeks: 1) to regulate the use of titles and the nature of letters of offer provided for different titles; 2) to set a floor for compensation for instructors, with compensation for other job titles being at the discretion of the deans; 3) to insure that benefits are provided according to system policies; 4) to insure grievance rights of all faculty; and 5) to encourage the inclusion of non-tenure-track faculty on multiple-year contracts in faculty development and recognition programs.

The most important development in the area of NTTF was the legislative action to allow contracts for highly effective teachers on more than 50% appointments. The Boulder campus offers such contracts for all qualified instructors and senior instructors. Since the contracts did not include a great deal of information we need to provide new hires, we have created an accompanying memorandum of understanding. This process has been working smoothly.

What follows are answers to the specific questions in the report template. The numbers have been updated but most of the other information is the same as in 2016. The college reports are largely the same though updated as needed.

Section A.   Titles, Contracts, and Workloads

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1.   What titles are in use for NTTF?

     Adjunct
     Adjoint
     Attendant Rank
     Instructor
     Senior Instructor
     Lecturer
     Scholar in Residence
     Visiting
     Clinical Faculty Titles
     Research Faculty Titles

Numbers by job class through 2017 are supplied by the Boulder Campus Office of Institutional Analysis at:
https://public.tableau.com/profile/university.of.colorado.boulder.ir#!/vizhome/Employee Counts/byCategoryChart

The counts for the campus are in this chart:

CU Boulder Employee Headcounts over Time by Academic Job Category

Select school/college:

- ⊙ (All)
- ○ General Campus
- ○ College of Arts and Sciences
- ○ College of Engineering & Applied Science
- ○ College of Media, Communication and Inf…
- ○ College of Music
- ○ Division of Continuing Education
- ○ Law School
- ○ Leeds School of Business
- ○ Program in Environmental Design
- ○ School of Education
- ○ School of Journalism & Mass Communic…
- ○ University Libraries

Select department(s):

| (All) | ▼ |

Select employee type:

| Non-Student | ▼ |

Select full-time/part-time status:

| (All) | ▼ |

Year of Effective d..	Non-Acade..	Instr/rsrch, or admin	Instructor / Sr Instruct..	Lecturer / Other Instr..	Research not TTT	Tenured/ tenure trac..	ALL
2001	3,207	221	368	777	1,525	1,029	7,127
2002	3,423	81	337	778	1,461	1,037	7,117
2003	3,278	75	335	697	1,518	1,034	6,937
2004	3,271	82	356	705	1,591	1,021	7,026
2005	3,118	246	377	713	1,556	1,040	7,050
2006	3,035	225	420	757	1,557	1,049	7,043
2007	3,105	214	422	776	1,153	1,075	6,745
2008	3,189	76	407	695	1,182	1,101	6,650
2009	3,256	80	340	687	1,326	1,138	6,827
2010	3,280	82	316	666	1,773	1,143	7,260
2011	3,333	88	296	665	1,807	1,123	7,312
2012	3,493	89	334	664	1,828	1,134	7,542
2013	3,637	53	341	680	1,898	1,146	7,755
2014	3,750	64	372	665	1,984	1,129	7,964
2015	3,376	87	393	700	2,046	1,145	7,747
2016	4,310	164	414	836	2,052	1,203	8,979
2017	4,482	147	429	727	2,188	1,229	9,202

2.   Are policies and procedures in place for initiating and reviewing NTTF contracts? If so, please summarize them.

All full-time instructor and senior instructor positions and all clinical faculty positions are reviewed at the department level, the dean's office, and the Office of Faculty Affairs and ultimately by the Chancellor; the offer letter process is the same as it is for tenure track faculty. All research faculty appointments are reviewed by the Vice Chancellor for Research and reported to the Chancellor. Other job classes, including less than 100% instructor and senior instructor appointments, are reviewed and approved at the level of the Dean and reported.

3.   Are workloads specified for each job title? If so, what are those workloads?

Work loads vary by School and College; the individual reports indicate what these are. In general, Instructor and Senior Instructor appointments are 80% teaching and 20% service, but the number of courses taught varies. Research Faculty are assigned some teaching percentage if they carry a professorial title. Lecturers are hired on a per course, honorarium basis. There are no standard workloads for titles such as Adjoint, Adjunct and so on.

Section B.   Evaluation and Promotion

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1.   What policies and procedures are in place to ensure systematic evaluation of NTTF? If so, please summarize them.

All instructors, senior instructors, and clinical faculty are on the salary roster and thus undergo annual merit evaluations in the same way as tenure-track faculty. Research Faculty undergo annual merit through processes overseen by the Vice Chancellor for Research (see https://www.colorado.edu/facultyaffairs/node/396/attachment). Most other titles—i.e., adjunct or adjoint—are reviewed at the end of an appointment period, usually every four years. Lecturers are part-time, temporary employees and are not necessarily formally reviewed, though their credentials are reviewed each time an offer letter is generated.

2.   How frequently are these evaluations conducted?

As indicated above, annually or at the end of a period of appointment.

3. Are there policies and procedures for promotion within and between appropriate title categories? If so, please summarize them.

Instructors: Instructors will normally be considered for promotion to Senior Instructor after a period of seven years of continuous appointment at greater than 50% time. Up to three years credit towards promotion, based on previous academic service, may be awarded at the time of initial appointment. Promotion after seven years is not mandatory, nor is it a right. The criteria used to evaluate an instructor for promotion to senior instructor will the same criteria as used for annual merit evaluation. Instructors promoted to senior instructors will be expected to have achieved a level of accomplishment sufficient to be judged as demonstrating excellence in teaching, and meritorious or excellent levels of accomplishment in the other areas defined by the workload definition. Clinical Faculty: Promotions are governed by the rules of the units using these titles.

Senior Instructors who have been in rank for at least three years can be considered for the honorific title of "Teaching Professor" as described in Academic Affairs policy:

IV. TEACHING PROFESSOR

1. DEFINITION:
The title of Teaching Professor is a working title. A Teaching Professor will still hold the rank and position of Senior Instructor, which is a non-tenure-track faculty position. Senior Instructors normally hold a terminal degree appropriate for the discipline. Appointment may range from less than 50% to full-time. Teaching Professors generally teach undergraduate courses and may have advising responsibilities and some administrative responsibilities in addition.

2. APPOINTMENT AND REAPPOINTMENT
After a minimum of three years at the rank of senior instructor, senior instructors who have been exemplary teachers and members of the university community may be considered for the title of "*Teaching Professor*." The working title of Teaching Professor will be given to a limited proportion of senior instructors to recognize a record of distinction. Since this third title is an honor, there is no expectation that the granting of this title will occur at a particular point in the individual's career after three years in rank as senior instructor, nor is there an expectation that each senior instructor should seek this title. Although senior instructors may, as a matter of convenience, seek promotion to Teaching Professor at the point of regular reappointment and contract renewal, a senior instructor may seek promotion at any time after three years in rank. Promotion materials should be submitted to the primary unit in the early fall, on a schedule consistent with normal reappointments and promotions to senior instructor. If someone is nominated for the title of "Teaching Professor" and then is not approved, that decision has no implications for the individual's status as a senior instructor; that individual could be nominated for promotion to Teaching Professor again.

3. EXPECTATIONS FOR PROMOTION TO TEACHING PROFESSOR

To determine whether an individual should be named Teaching Professor, faculty committees will examine the nominee's teaching record, together with his/her service and leadership (including outreach and engagement), to determine whether this is a record of distinction. A "record of distinction" typically carries the expectation that the individual has made a major impact in the disciplinary unit and its students (e.g. on pedagogy and curriculum), one that likely extends to considerable impact on the campus generally and/or a role in national discussions. Multiple measures of exemplary performance constituting a record of distinction should be used.

4. REVIEW PROCESS

Unit-Level Review. When a senior instructor wishes to apply for promotion to Teaching Professor, or when the unit wishes to nominate that person, the chair/director of the unit should call upon the appropriate faculty committee (e.g. the committee typically convened to review instructors) to review and advance a nomination packet which will include:

- a letter of nomination from the chair,
- one or more supporting letters (which may be from outside the unit or campus),
- a vita,
- a teaching statement,
- a service statement, and
- a teaching portfolio that speaks to multiple measures of exemplary performance

The department will vote on the granting of the title. If the vote is positive, the case will be forwarded to the school/college. School/College Review. Given the endorsement of the unit, the nomination packet will be reviewed at the school/college level by the appropriate committee. If that committee ratifies the nomination, it goes to the dean. The dean will consider the nomination and, if s/he approves it, s/he will write a letter of support and send the case to the Provost. Campus-Level Review. The Provost will convene a committee composed of three vice provosts and four faculty members, selected by the provost with the approval of BFA; initially, the four faculty members will all be tenured faculty members, but as instructors receive the title of "Teaching Professor" they will provide at least two of the four faculty members. The Provost, with the concurrence of the Chancellor, will grant the title. Only positive recommendations move from level to level.

5. SALARY: Upon promotion to Teaching Professor, the individual will receive a salary increment to be added to the base academic-year salary. Initial salaries for Teaching Professors will normally be greater than those earned by Senior Instructors in the same unit in their initial appointments. 4 BENEFITS: Benefits for Teaching Professors are the same as those of Senior Instructor-rank faculty.

Research Faculty: Promotions are governed by the rules of the Office of the Vice Chancellor for Research   (see https://www.colorado.edu/hr/sites/default/files/attached-files/2018-19_resfacsummaryevaluationform.pdf).

Lecturers: Lecturers who have taught at 50% or more for at least three consecutive years may be considered by their unit for promotion to instructor.

Section C. Compensation and Benefits
Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1.   At what percentage of FTE are the NTTF holding various titles eligible for benefits? (The 1999 NTTF Recommendations set the goal that "Each primary unit determines what a full-time workload is for its NTTF, and that 50% workload be understood to be half of that departmentally-determined full-time load.")

        All units follow System rules for benefits by job class. See https://www.cu.edu/doc/eligibilitymatrixxlsxlsx.

2.   How are the policies and procedures related to compensation and benefits made readily accessible to NTTF, their supervisors, and relevant staff?

        Material is available online. It is discussed at new faculty orientation. Specifics are indicated in offer letters. Payroll and Benefits supply additional guidance.

Section D.   Professional Development, Recognition, and Grievance

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1.   What opportunities and types of support are available to NTTF for professional development?

        The various schools and colleges have indicated the kinds of professional development opportunities they provide. The campus encourages that professional development opportunities be made available to all instructors and senior instructors. The Faculty Teaching Excellence Program, the Leadership in Education and Administration Program, and the Office of Contracts and Grants offer sessions appropriate to various job classes.

2.	How are NTTF recognized for excellent performance? For instance, are there any awards or other public expressions of appreciation for contributions to the University's mission?

The various schools and colleges have indicated the kinds of recognitions they provide. Various job classes are eligible for Boulder Faculty Assembly Awards at the campus level. Teaching Professors are recognized at our Fall Convcation.

3.	Are there policies and procedures for addressing grievances by NTTF? If so, please summarize them.

There are many different kinds of things that are labeled as grievances. Most issues (say, harassment and discrimination) are handled through general campus policies. Many others are handled through specific policies and practices within individual schools and colleges. There is a general campus policy on the non-renewal of instructors:

1.	Instructors are at-will employees and may be dismissed for cause, as stated in all letters-of-offer; grievances over any such dismissals are handled in the normal manner.
2.	Non-renewal is not dismissal. There may be many reasons why a particular unit chooses not to continue a particular instructor position. There may, however, be cases where an instructor feels that his/her privileges have been violated in a case of non-renewal. In order to make use of grievance procedures in such cases, instructors should, in most cases, receive timely notification of non-renewal. In general, a notice will be issued one semester before the current letter of offer expires indicating that (a) the person will be renewed; (b) the person will not be renewed; or (c) the person's renewal is still pending. Rostered instructors on multi-year letters-of-offer should receive notification of non-renewal at least six weeks before the end date in the letter of offer.
3.	A fast-track grievance procedure will be available to hear grievances while the instructor is still a member of the university community; such a procedure exists within the College of Arts and Sciences and AA will provide on its website a model procedure for the other schools and colleges to adapt. Where an instructor feels that s/he has been subject to discrimination or harassment, s/he should pursue remedy through OIEC. Where an instructor feels that s/he has not been renewed due to procedural violations or due to an unfair (i.e. arbitrary, capricious, retaliatory, based on personal malice, and/or inconsistent with treatment accorded to the instructor's peers in similar circumstances) recommendation, s/he should use the grievance procedure mentioned above.

College of Arts and Sciences

To see the Arts and Sciences instructor and senior instructor chart of annual merit weights for teaching and service weights and the corresponding pay scale. Please see:
http://www.colorado.edu/ArtsSciences/facultystaff/administration/instructors.html.

Section A.   Titles, Contracts, and Workloads
1.   What titles are in use for NTTF?

TITLE	REVIEW	WORKLOADS
Adjoint	determined by department	no standard
Adjunct	determined by department	no standard
Assistant	determined by department	no standard
Attendant Rank	determined by department	no standard
Instructor	department/dean review of teaching and service documentation	FT: 3 courses/semester plus service. 4 courses/semester with less service
Lecturer	determined by department	4 courses/semester. No service
Scholar in Residence	department/dean review of teaching and service documentation	FT: 3 courses/semester plus service. 4 courses/semester with less service
Visiting	determined by department	no standard

2.   Are policies and procedures in place for initiating and reviewing NTTF contracts? If so, please summarize them. See above
3.   Are workloads specified for each job title? If so, what are those workloads? See above.

Section B.   Evaluation and Promotion
1.   What policies and procedures are in place to ensure systematic evaluation of NTTF? If so, please summarize them. See table below.
2.   How frequently are these evaluations conducted? See table below.
3.   Are there policies and procedures for promotion within and between appropriate title categories? If so, please summarize them. See table below.

TITLE	SYSTEMATIC EVALUATION	FREQUENCY	PROCEDURES FOR PROMOTION
Adjoint	Determined by department	During final year of appointment, which may be for no more than 4 years	N/A
Adjunct	Determined by department	During final year of appointment, which may be for no more than 4 years	N/A
Assistant	N/A	N/A	None. Temporary less-than-6-month appointment only.
Attendant Rank	Determined by department	N/A	Promotion (change in title) and review are tied to regular appointment review.
Instructor	Determined by College based on end-date of appointment	During final year of appointment, which may be for no more than 3 years	The same documentation as required for a regular review, provided the employee is eligible based on promotion requirements (time in rank, etc.)
Lecturer	Determined by department	N/A	Dept or employee may request consideration for instructor appointment, generally after 3 years of at least half-time service.
Scholar in Residence	Determined by College based on end-date of appointment	During final year of appointment, which may be for no more than 3 years	N/a
Visiting	N/A	N/A	Temporary appointment. No promotion available.

Section C.   Compensation and Benefits
   1.   At what percentage of FTE are the NTTF holding various titles eligible for benefits?
           (The 1999 NTTF Recommendations set the goal that "Each primary unit determines what a full-time
           workload is for its NTTF, and that 50% workload be understood to be half of that departmentally-
           determined full-time load.")

TITLE	HEALTH/RETIREMENT BENEFITS ELIGIBILITY %
Adjoint	not eligible
Adjunct	not eligible
Assistant	not eligible
Attendant Rank	not eligible
Instructor	50%
Lecturer	50%
Scholar in Residence	50%
Visiting Professor	50%

   2.   How are the policies and procedures related to compensation and benefits made readily accessible to
           NTTF, their supervisors, and relevant staff? There is a standard paragraph in offer letters that
           mentions health benefits, when they start, and who to contact with questions. Information is
           available on the web through the Payroll and Benefits office. PBS has a phone line for answering
           questions.

Section D.   Professional Development, Recognition, and Grievance
   1.   What opportunities and types of support are available to NTTF for professional development?
   The College has a travel fund available to faculty at the instructor rank who will be presenting seminars at
   conferences in the amount of $400 for national or $600 for international travel. The Arts and Sciences'
   Fund for Excellence, which provides up to $1,000 per academic year upon request and approval, also is
   available to those at the instructor rank and above. Funding is awarded based upon merit of the proposal.

   2.   How are NTTF recognized for excellent performance? For instance, are there any awards or other
           public expressions of appreciation for contributions to the University's mission?
   Departments may have their own award programs, but there is nothing at the College level.

   3.   Are there policies and procedures for addressing grievances by NTTF? If so, please summarize
           them.
   Grievances from faculty at all levels are to be handled at the department level. If the grievance is not
   solved to the satisfaction of all parties, the issue may be referred to the dean, who refers the matter to the
   Arts and Sciences' grievance committee. The College policy is on the web
   at: http://www.colorado.edu/ArtsSciences/facultystaff/policies/grievance.html .

College of Engineering and Applied Science (CEAS)

Non-Tenure-Track Faculty (NTTF) Report
University of Colorado
For 2018

Section A.   Titles, Contracts, and Workloads
1. What titles are in use for NTTF?
   - *Instructor*
   - *Sr. Instructor*
   - *Scholar-in-Residence*
   - *Adjunct: Assistant, Associate, Full*
   - *Adjoint: Assistant, Associate, Full*
   - *Lecturer*
   - *Visiting Professor: Assistant, Associate, Full*
   - *Research Professor: Assistant, Associate, Full*

2. Are policies and procedures in place for initiating and reviewing NTTF contracts?
   Yes, the procedures for hiring NTTF are published on the CEAS website:
   http://engineering.colorado.edu/facultvstaf]/faculty_policies.htm

   If so, please summarize them.
   *Individuals appointed to the rank of **Instructor or Scholar-in-Residence** must have a master's degree or its equivalent and normally hold a terminal degree appropriate for the discipline. Instructor and Scholar-in-Residence appointments may range from less than 50% to 100% of time. Instructors and Scholars-in-Residence usually teach undergraduate courses, and also may have advising responsibilities and some limited administrative responsibilities. Application to the Graduate School for graduate faculty status is required for Instructors and Scholars-in-Residence to teach at the graduate level, including service on graduate committees. Appointment as an Instructor or Scholar-in-Residence is an at-will appointment, and is subject to the limitations and restrictions defined by Colorado Statue and by the University's "at-will" policy. A letter of initial appointment which defines the salary and terms of employment will generally be written for a period of two years. Letters of reappointment may be written for periods of up to four years. Comprehensive reviews associated with reappointment are required at least once every four years.*

   *The title **"Lecturer"** is granted to a scholar invited to the University to give lectures or perform other teaching duties. Lecturer appointments are recommended by the permanent faculty of a discipline or by the Chair or Director on behalf of the faculty (a search is not required). The recommendation will be sent to the Dean for his concurrence and will be subject to final approval by the Chancellor of the University of Colorado at Boulder. Lecturers must be*

1

recommended to the graduate faculty of the University and accepted before they may teach graduate level courses or otherwise participate in graduate education.

The Research Professor series follows the hiring procedure set by the Graduate School.

3. Are workloads specified for each job title? *Yes*

   If so, what are those workloads?
   Workload weighting for purposes of annual merit evaluation for Instructors and Scholars-in-Residence are defined in the letter of appointment or reappointment. This workload weighting is usually 75-100% teaching, with the remaining percentage composed of service. A typical example in the College of Engineering and Applied Science is 90% teaching and 10% service, with a teaching load of three, 3-credit courses per semester. The University does not require Instructors and Scholars-in-Residence to conduct research, but a research component may be included in the workload distribution if requested by the NTTF Evaluation for annual merit is based upon the workload weighting defined at the time of appointment, unless it is subsequently modified in writing.

   Lecturers and Adjunct titles generally have a workload of 100% teaching.

   The Research Professor series is typically 10% teaching, 80% research, and 10% service.

Section B.   Evaluation and Promotion
   1. What policies and procedures are in place to ensure systematic evaluation of NTTF? If so, please summarize them.
   Instructors and Scholars-in-Residence *are expected to complete the Faculty Report of Professional Activities (FRPA). The Department Chair, Program Director, or Faculty Evaluation Committee of the primary unit does a performance evaluation of the faculty member in each workload area (primarily teaching, though some Instructors and Scholars-in-Residence may also have research and/or service responsibilities), resulting in an overall score (1-5) and rating (unsatisfactory, below expectations, meets normal expectations, exceeds normal expectations, or far exceeds expectations). In addition to scores on the Faculty Course Questionnaire, multiple other measures of teaching should be included, such as student comments, peer observation, non-classroom teaching and outreach, scholarly educational work, course or curriculum development, course syllabus, etc. The Deans then review the evaluation. If the annual evaluation is not "meets normal expectations", or above, then the faculty member must complete a performance improvement plan, approved by the Chair or Director, for the appointment to be continued or renewed.*

   Reappointment of an Instructor-rank or Scholar-in-Residence faculty member who has been serving a multiple-year appointment requires an evaluation by the primary-unit evaluation committee and a vote of the primary unit. In general, instructors are expected to demonstrate excellence in teaching and meritorious

performance in service and research (if relevant). The College requires the following documentation to be submitted to the Dean's office by the end of February for reappointments:

1) Chair or Director letter to the Dean that summarizes the evaluation of the candidate by the primary unit review committee and reports the primary unit vote on the candidate's reappointment. The letter should state if teaching, service and research (if relevant) are each "meritorious" or "excellent".

2) Candidate's vita.

3) Multiple measures of teaching (FCQ summaries, plus at least two more measures such as student comments, peer observation, scholarly educational work, course syllabus review, participation in non-classroom teaching and outreach, etc.).

4) Summary of Recommendation form or a draft of the reappointment offer letter to the candidate.

Research Professors *are evaluated in the same manner as regular tenured and tenure-track faculty. All ranks of the research professor series are subject to performance evaluations carried out according to the procedures of the sponsoring unit, analogous to the salary-increment reviews of regular faculty. This review will be used to establish the appropriate salary level for the research faculty member as well as to provide constructive feedback to the faculty member concerning his/her performance and progress in the unit. Salary increments at times other than the performance evaluation will not normally be allowed. Research professors with any general fund support will receive salary increments in the same time frame as regular faculty in their academic department.*

*Temporary teaching faculty such as **Adjunct and Lecturers** are evaluated by their departments or programs before being rehired for an additional semester.*

2. How frequently are these evaluations conducted?
    Annually and before renewal of an appointment.

3. Are there policies and procedures for promotion within and between appropriate title categories? If so, please summarize them.

    *Instructors with demonstrated excellence in teaching are considered for promotion to **Senior Instructor** after typically seven years of experience.*

    *After two consecutive reappointments, **Assistant and Associate Research Professors** and the host department chairs/institute directors will be encouraged to seek promotion of the research faculty member to associate and full research professor, respectively. A procedure guide for promotion of Assistant and Associate Research Professors is located on the Graduate School website at:*

    http://www.colorado.edu/VCResearch/research   facultvldownloads/ResProfPol icv.pdf

*There are no promotion procedures in place for temporary teaching faculty titles such as **Lecturer** or the **Adjunct Professor** series.*

Section C.   Compensation   and Benefits
Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. At what percentage of FTE are the NTTF holding various titles eligible for benefits? (The 1999 NTTF Recommendations set the goal that "Each primary unit determines what a full-time workload is for its NTTF, and that 50% workload be understood to be half of that departmentally-determined full-time load.")

   Generally, instructional NTTF have a teaching load of 3 courses per semester for a full-time appointment. Benefits are available for faculty holding the titles of Instructor, Sr. Instructor, Scholar-in Residence, Visiting Professor (all levels), and Lecturer appointments with a percent of time between 50%-100%.

   The Research Professor series is eligible for benefits with an appointment of 50% or higher. According to Graduate School rules, the minimum appointment for a research professor is generally 50%.

2. How are the policies and procedures related to compensation and benefits made readily accessible to NTTF, their supervisors, and relevant staff?
   This information is readily available on the campus and CEAS websites. It is also presented to new Instructors, Scholars-in-Residence and Research Professors during the College 's new faculty orientation. In addition all new benefits-eligible employees attend a benefits orientation within 30 days of hire.

Section D.   Professional Development, Recognition, and Grievance
Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. What opportunities and types of support are available to NTTF for professional development?

   Instructors, Scholars-in-Residence and Research Professors in the CEAS may apply for most faculty development fund programs offered to the general tenure-track faculty, such as travel or research/creative work awards. Sufficient support for the instructional responsibilities of NTTF will be provided, including library privileges, reasonable use of office staff support, and space for meeting with students.

2. How are NTTF recognized for excellent performance? For instance, are there any awards or other public expressions of appreciation for contributions to the University's mission?

Instructor, Scholars-in-Residence and Research Professors are eligible for most faculty teaching and service awards. Research Professors are eligible for CEAS research awards.

3. Are there policies and procedures for addressing grievances by NTTF? If so, please summarize them.

   The following grievance policy and procedure is in place for faculty, staff and students of the CEAS:

   When a dispute or grievance arises, it should be handled according to the following policy, which is based on resolving such matters at the lowest possible administrative level:
   1. The parties involved should seek to understand each other's viewpoints and to resolve their differences by engaging in respectful and honest dialogue. If necessary, the advisor(s), instructor(s) or supervisor(s) of the parties should be consulted for assistance. The Ombuds Office is also recommended as a resource for informal, impartial and confidential dispute resolution services.
   2. If Step 1 fails to bring satisfactory resolution, one or both parties may request that the head of the unit (Chair or Director, typically) review the matter (by meeting with the parties and/or studying written documentation) within 30 days. If the head is not able to resolve the grievance, it is referred to the unit's grievance committee (usually an ad hoc committee, with members selected from the unit's executive committee), which should complete its review within 30 days.
   3. If Step 2 does not resolve the issue to the satisfaction of the parties involved, the unit head refers the matter to the Dean, who may seek the advice of a college committee (usually an ad hoc committee, with members selected from the Administrative Counci\V. A grievance made to the Dean should be in writing, and a written response will be provided within 30 days.

   Where a special procedure has been provided by the College, Boulder Campus, or University (such as in faculty salary grievances, staff grievances/misconduct, research misconduct, grade appeals, student misconduct, graduate student grievances, promotion and tenure, and sexual harassment), the grievance will be handled according to that procedure.

College of Media, Communication and Information
Non-Tenure Track Faculty Report, July 2018

Section A.   Titles, Contracts, and Workloads

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. What titles are in use for NTTF?

   senior instructor, instructor, scholar in residence, visiting professor, lecturer, professor of practice (as a working title for qualifying instructors)

2. Are policies and procedures in place for initiating and reviewing NTTF contracts? If so, please summarize them.

   Yes. For all NTT appointments, excepting lecturer offers, once a department has completed its search and selected a candidate, the Chair coordinates with the CMCI Dean's office to approve the details of the offer. The department then drafts the contract and submits it to the Dean's office for review. For those instructor appointments which involve three-year System Agreements or scholars in residence, the offers are then advanced to the CUB Office of Faculty Affairs for approval before signatures are collected. Visiting professor contracts, which do not require CUB Office of Faculty Affairs approval, are reviewed and approved by the Dean's office before signatures are collected.

   Lecturer contracts are written using a common, College standardized template, and stipulate consistent workload and compensation practices across departments. These offers are made with the Chair's approval and are recorded with the Dean's office.

3. Are workloads specified for each job title? If so, what are those workloads?

   Yes. The College standard for instructor and scholar in residence appointments involves a 75% teaching and 25% service merit ratio, with a six course per academic year teaching load. At the appointee's request and at the Department's discretion, instructors can be appointed with 10% research and 15% service, with the teaching load unaffected. Visiting professor appointments involve the same workload with no stipulation of merit, given that the appointment is temporary. The College standard for all lecturer appointments is one course per semester and contracts are only offered on a semester basis.

   There are occasional, rare variations in merit ratio and teaching load on instructor and scholar in residence contracts, based upon the purpose of the appointment and needs of the department. In these instances, all contracts must include language specifying the duties involved and the rationale for the departure from the College standard.

Section B.   Evaluation and Promotion

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. What policies and procedures are in place to ensure systematic evaluation of NTTF? If so, please summarize them.

   The College and its units have adopted the "Academic Affairs Guidelines for the Appointment, Evaluation, and Promotion of Lecturer and Instructor Rank Faculty" (https://www.colorado.edu/facultyaffairs/sites/default/files/attached-files/lecturer_instructor_appointment_evaluation_promotion_guidelines_2017_revisions_re mediated_091917.pdf) into their Personnel Policies and Procedures documents. In addition, at their Spring 2018 all faculty meeting, the faculty of CMCI approved recommendations put forth by the Dean's office (Memo attached) that all department Personnel Policies and Procedures documents should include the specific, departmental criteria for successful reappointment and promotion of NTTF, as recommended by that "Academic Affairs Guidelines" document (included with the attached Memo).

2. How frequently are these evaluations conducted?

   Evaluations of all NTTF faculty on contracts of 2 years or more are conducted on an annual basis as required by the CUB annual merit evaluation process.   More extensive evaluations are conducted for reappointment and promotion of these faculty two semesters prior to the end of appointment, as required by CUB Faculty Affairs policy. NTTF on temporary contracts, i.e., lecturers and visiting professors, are evaluated according to unit personnel policies and procedures.

3. Are there policies and procedures for promotion within and between appropriate title categories? If so, please summarize them.

   Yes. These policies and procedures are included in the documentation referred to above (B.1), which have been adopted into College and unit Personnel Policies and Procedures documents. At minimum, these policies involve consideration of years of service in the current position and an extensive evaluation of that service.

Section C.   Compensation and Benefits

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. At what percentage of FTE are the NTTF holding various titles eligible for benefits?

   (The 1999 NTTF Recommendations set the goal that "Each primary unit determines what a full-time workload is for its NTTF, and that 50% workload be understood to be half of that departmentally-determined full-time load.")

   NTTF are eligible for benefits when employed at 50% FTE or greater.

2. How are the policies and procedures related to compensation and benefits made readily accessible to NTTF, their supervisors, and relevant staff?

   All NTTF are directed to CUB benefits and employee services on-line resources in their original offers of appointment. College and department staff also provide continuing information and guidance, in addition to NTTF access to resources through their MyCUInfo profiles.

Section D.   Professional Development, Recognition, and Grievance

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. What opportunities and types of support are available to NTTF for professional development?

   NTTF are eligible to apply for support through CMCI's Payden Grant and DeCastro Grant programs, which are presently awarded on an annual basis.

2. How are NTTF recognized for excellent performance? For instance, are there any awards or other public expressions of appreciation for contributions to the University's mission?

   NTTF are eligible for consideration for CMCI's prestigious William R. Payden Award for Faculty Excellence. This is an annual award of $20,000 which recognizes teaching excellence.

3. Are there policies and procedures for addressing grievances by NTTF? If so, please summarize them.

   In addition to the grievance policy adopted by the College and its departments with the Academic Affairs document referred to above (B.1) and attached to this report, the CMCI Bylaws establish a grievance committee as an appointed standing committee of the CMCI Faculty Council. This committee "reviews and makes recommendations to the Dean of the College on grievances and appeals of individual faculty members, students, groups or primary units, provided at least one of the parties in the dispute is a member of the College faculty."

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University of Colorado Boulder

MEMORANDUM

To: Lori Bergen, Founding Dean, CMCI
                  Bill Aspray, Chair, CMCI Faculty Council
From: Kristi Gitkind, Sr. Executive Aide to the Dean
Date: September 29, 2017
Re: CMCI Instructor Rank Faculty Reappointment & Promotion

The Office of Faculty Affairs (OFA) provides clear guidelines for appointment, reappointment and promotion for Instructor and Lecturer Rank faculty (**Academic Affairs Guidelines for the Appointment, Evaluation and Promotion of Lecturer and Instructor Rank Faculty, 2011, Update June 2017 (Addendum 1))** *http://www.colorado.edu/facultyaffairs/sites/default/files/attached-files/lecturer_instructor_appointment_evaluation_promotion_guidelines_2017_revisions_r emediated_091917.pdf*

OFA also provides guidance for the appointment and reappointment of Professors of Practice (**Unusual Faculty Titles and Definitions (Addendum 2)).**

There are instances in which OFA leaves process decisions to the unit or college. The following recommendations are made to further consistent practices throughout the college.

Lecturer and Instructor Adjunct Appointments and Evaluation

OFA guideline: The establishment of a hiring committee for lecturers and instructor adjuncts is recommended but not required. Units should work with the Dean's Office to set honorarium salaries at market rates.
> Dean's Office recommendation: Units will develop and follow a consistent process for the hiring of lecturers and instructor adjuncts. Units will offer consistent, market-based salary levels to all lecturers and instructor adjuncts.

OFA guideline: A written statement of evaluation policy should be provided from the beginning of employment.
> Dean's Office recommendation: Units will include a written statement of evaluation policy on the offer letter of all lecturers and instructor adjuncts.

OFA guideline: Lectures with three years consistent appointments at 50% or greater within a unit should be considered for a rostered Instructor position.
> Dean's Office recommendation: Units will evaluate 50% or greater third-year lecturers for potential appointment as instructors.

Instructor Appointment, Reappointment
OFA guideline: The unit should establish the criteria for successful reappointment of instructors which should include an evaluation of teaching and other duties.

> Dean's Office recommendation: Units will establish the criteria for the successful reappointment of instructors and include in their unit personnel document.

Promotion to Senior Instructor
OFA guideline: Units will establish the criteria for promotion to Senior Instructor.

> Dean's Office recommendation: Units will establish the criteria for promotion to Senior Instructor and include in their unit personnel document. Review process will be a unit-level review forwarded directly to the dean for approval. This may or may not be the PUEC.

Senior Instructor Reappointment
OFA Guideline: The chair and/or dean will review the Senior Instructor's file as part of a formal but expedited review in the final year of initial appointment.

> Dean's Office recommendation: The chair will review the Senior Instructor's file and inform the dean of endorsement.

Promotion to Teaching Professor
OFA prescribes a clear review process for promotion to teaching professor, including review by the personnel committee prior to forwarding to the dean. The Dean's Office has no additional recommendations.

Professor of Practice Appointment and Reappointment
OFA Guideline: Appointments and reappointments of Professors of Practice should be reviewed by the appropriate dean and by the Office of Faculty Affairs.

> Dean's Office recommendation: The candidate's CV and department chair's letter will be forwarded to the dean prior to extending the initial offer to the candidate. If approved, the dean's memo of support and letter of offer draft will be sent to OFA for signature routing approval.

Academic Affairs Guidelines for the Appointment, Evaluation, and Promotion of Lecturer and Instructor Rank Faculty
Approved in Dean's Council, 29 March 2011
Approved by Provost Moore, 29 March 2011
Revised, 1 June 2017

General Remarks

The purpose of this document is to provide to members of the Boulder campus community a set of guidelines for the appointment, evaluation, and reappointment of non-tenure-track teaching faculty in the lecturer, instructor, senior instructor, and teaching professor faculty ranks. This document has a history running from a document adopted by the Boulder Faculty Assembly on April 2, 1998 titled "Instructors' Bill of Rights," to an Academic Affairs policy adopted by Deans Council on March 9, 1999, on to a BFA/Academic Affairs Task Force on Instructors Report issued during the 2007-2008 Academic Year, and then to a new BFA task force during the 2009-10 academic year. A major revision was approved on 29 March 2011.

Lecturers and instructors play an integral part in the ability of the Boulder campus to provide the breadth and quality of educational experience expected of an AAU public university. Lecturers and instructors supplement and complement the teaching activities of the tenure-track faculty, and in so doing they allow the tenure-track faculty to engage more students in individualized instructional opportunities in their studios, libraries, and laboratories. They also provide the institution the ability to adjust more rapidly its educational opportunities to meet student needs and preferences than can always be accommodated for by the tenure-track faculty alone. It is important that the campus community recognize the important role played by instructors in enabling the campus to address both its research and its teaching missions.

Instructors and lecturers play different roles on campus. Lecturers help meet changing student demands, as enrollments change, as faculty vacancies occur, and as educational needs shift. By definition, lecturers, whether part-time or full-time, are not continuing employees. They make an important contribution to teaching on campus, but their role is restricted to teaching, and their position is contingent upon changing needs.

Rostered full-time instructors are considered by the University of Colorado to be part of the regular faculty, which is also comprised of the tenure-track faculty.
Instructors contribute over a number of years, and sometimes over an entire career, to the teaching and service missions of the university; they may pursue their own research or creative work alongside their university duties, work that may enrich their contributions. Rostered instructors should be considered as continuing members of their departmental, college, or school community; they should participate in the governance of the department, in particular in relation to curricular matters (although they may not be involved in personnel decisions concerning tenure-track faculty). As rostered faculty, they are reviewed as part of the annual merit process. (Please note that some other titles, such as scholar-in residence, are treated under the same policies and procedures as instructors.)

3

The nature of the instructional mission of the Boulder campus is such that each college and school has a different need and pattern of employment of lecturers and instructors. Accordingly, the different colleges and schools use these titles differently and attach different expectations and compensation to these titles. The guidelines below are meant to influence the application of these titles, not to inhibit their usefulness. Hiring units or individuals with questions concerning the rights and privileges of these titles should consult their dean's office or the Office of Faculty Affairs.

Schools and colleges should analyze where they need continuing, perhaps career-long contributions to their missions by non-tenure-track faculty. In those cases, and in those cases alone, positions should be created for rostered instructors on multi-year (usually three year), renewable contracts. The campus should do what it can to integrate these instructors into the university community and to provide them with working conditions conducive to the performance of their duties. In other cases, where part-time or temporary employees are needed to teach classes, units should hire lecturers.

Full-time Instructor, Senior Instructor, and Teaching Professor positions are offered under the CU System Instructor Employment Agreement (available on the Office of Faculty Affairs website). The CU System Instructor Employment Agreement offers non-at will contracts for up to three years to full-time instructors with at least 50% teaching in their annual merit formula.

With the exception of Instructor, Senior Instructor, and Teaching Professor positions that qualify for placement on a CU System Instructor Employment Agreement, all Lecturer, Instructor and Senior Instructor positions are considered to be at-will appointments by the University and by the State of Colorado. All appointment letters of at-will employees must carry a description of at-will status. Nothing described in this document is meant to nor may it be interpreted to conflict with the at-will status of these job titles. An excerpt of that at-will statement appears below. The full text of the appropriate offer letter template is available from the Office of Faculty Affairs.

> "State law specifically requires that you be an employee-at-will in your non-tenure track position and that the following paragraph be included in this letter of offer:
>
> Your employment contract is subject to termination by either party to such contract at any time during its term, and you shall be deemed to be an employee-at-will. No compensation, whether as a buy-out of the remaining term of the contract, as liquidated damages, or as any other form of remuneration, shall be owed or paid to you upon or after termination of such contract except for compensation that was earned prior to the date of termination."

Definition of Full-Time: Lecturers and instructor-rank faculty have responsibilities, privileges, and benefits defined in part by whether their appointments are to positions that are considered less than 50% full-time or 50-100% full-time. The percent time of the appointment (% full-time) is based on the college- or school-specific definition of 100% full-time effort, which typically includes three to four 3-credit courses per semester or equivalent. In larger colleges, full-time expectations may be defined on a discipline-specific basis.

I. LECTURER, INSTRUCTOR ADJUNCT

1. DEFINITION: Lecturers and instructor adjuncts are hired on a semester-to-semester basis and do not have regular faculty appointments. An advanced degree in an appropriate discipline is normally required for appointment to these ranks. Appointment may range from less than 50% to full-time. The role of lecturers and instructor adjuncts is extremely important to the University's ability to offer special programs and classes according to the fluctuations of demand and funding from semester to semester.

2. APPOINTMENT AND REAPPOINTMENT: Appointment as a Lecturer or as Instructor Adjunct is an at-will appointment and is subject to the limitations and restrictions defined by Colorado Statute and by the University's "at-will" policy. Campus administration urges that departments show due consideration for lecturers and instructor adjuncts by providing early notification of possible extensions of their appointment and that units keep the principle of continuity of employment in mind when making teaching assignments. The establishment of a hiring committee is recommended but not required for appointments to these faculty titles.

3. SALARY: A pay scale within the primary unit shall be established, defined on a per-course or per-credit-hour basis, taking into consideration experience and the nature of the assignment. Honorarium teaching should not be indexed by instructor salaries: instructors have duties and roles on campus that are different from those of lecturers. Departments working with their deans' offices should set honorarium salaries at market rates.

4. BENEFITS: **Lecturers**: University of Colorado Boulder provides to lecturers the same health care benefit options available to other faculty ranks once a person teaches for a semester at 50% or more time. Benefits are not provided to an individual whose appointment is or falls below 50% full-time. Lecturers are not eligible for retirement benefits (other than FICA) because they are not continuing faculty members and thus do not have appointments that extend up to the vesting date. Hiring authorities or candidates should direct questions regarding benefits to the Benefits Office of Employee Services. Lecturers with simultaneous appointments in two or more units will be eligible for benefits if the sum of their appointments is equivalent to 50% time or above as defined by the unit of their earliest-dated, active appointment. In such cases, the obligation for notifying in writing all units of appointments that sum to 50% or greater rests with the employee. Costs of benefits will be borne by each unit on a proportional basis**. Instructor Adjuncts**: As is the case for all faculty adjunct positions, instructor adjuncts are not eligible for University health or retirement benefits regardless of the percent time of their appointment.

   Lecturers and instructor adjuncts are eligible for parking, bookstore, recreation center, library, and University ID privileges as permitted by specific campus policies.

Sufficient instructional support, including access to supplies, staff support, and office space for meeting students shall be provided.

Lecturers and instructor adjuncts shall be eligible for most teaching awards.

Where someone has been a lecturer at 50% or more for three years, the unit should consider whether the position should be redefined as a rostered instructor: again, if a long-term relationship between the individual and the campus is desirable, a rostered instructorship should be created. Where the position is temporary and contingent, lecturers should be employed. Where a unit finds that it has continuing but fluctuating part-time work, it is best not to employ someone beyond three years because doing so may suggest a guarantee of continuing employment that does not exist. Having multiple lecturer appointments in different units constitutes a different situation: while the individual may have more than a 50% appointment, there is no need for a single, continuing position.

5. EVALUATION: Units may evaluate the performance of lecturers in a number of ways, including Faculty Course Questionnaires, class visits, and/or the Faculty Report of Professional Activities. A written statement of policy should be provided from the beginning of employment.

II. INSTRUCTOR

1. DEFINITION: The title of Instructor is a non-tenure-track faculty position. Instructors normally hold a terminal degree appropriate for the discipline. Appointment may range from less than 50% to full-time. Instructors usually teach undergraduate courses and may have advising responsibilities and some limited administrative responsibilities in addition. Application to the Graduate School for graduate faculty status is required in order for instructors to teach at the graduate level, including service on graduate committees.

2. APPOINTMENT AND REAPPOINTMENT:

Appointment as a full-time Instructor may be made through a CU System Instructor Employment Agreement (available on the Office of Faculty Affairs website). Full-time instructors with at least 50% teaching in their annual merit formulas qualify for placement on this Agreement. The appointment should be for three years. An appointment for less than three years is permitted if a probationary period is needed, or if the need for teaching is less than three years. This Agreement is accompanied by a Cu Boulder campus letter of offer that describes, among other things, annual merit weights and the 50% teaching requirement. Instructors will be reviewed every year as part of the annual merit process and must undergo a formal review for reappointment before the end of their final year of appointment, preferably in the first semester of that year. The unit should establish the criteria for successful reappointment, which should include an evaluation of teaching and other duties. In most cases, reappointments of instructors will be for more than one year and may be for up to three years. However, when a reappointment process results in recommendation of a one-year probationary period to correct problems in performance,

a one-year reappointment will be permitted; during the course of that year, another evaluation should take place that would result in either a multi-year reappointment or non-reappointment.

Appointments as a 1) part-time Instructor and 2) full-time instructor not qualifying for placement on a CU System Agreement are at- will appointments and are subject to the limitations and restrictions defined by Colorado Statute and by the University's "at-will" policy. A letter of offer for the initial appointment must be for more than one year and may be up to four years. Annual merit weights will be defined in the letter of appointment. Instructors will be reviewed every year as part of the annual merit process and must undergo a formal review for reappointment before the end of their final year of appointment, preferably in the first semester of that year. The unit should establish the criteria for successful reappointment, which should include an evaluation of teaching and other duties. In most cases, reappointments of instructors will be for more than one year and may be for up to four years. However, when a reappointment process results in recommendation of a one-year probationary period to correct problems in performance, a one-year reappointment will be permitted; during the course of that year, another evaluation should take place that would result in either a multi-year reappointment or non-reappointment.

3. SALARY: Academic Affairs shall establish a floor for full-time instructors (based on a 9-month appointment in all units except the libraries, where the appointment is for 12-months). Based on that floor, each college and school shall establish a salary range for 100% full-time instructors within their unit.

    In larger colleges, starting salaries may be discipline-specific. Instructors on less than 100% time appointments shall be paid proportionately. Instructors shall be eligible for annual merit increases as part of the regular faculty merit assessment process.

4. BENEFITS: Instructors at 50% time or greater receive health and retirement benefits consistent with those offered to tenure-track faculty. Health benefits and retirement are not extended to those instructors whose appointments are initially or fall below 50% full- time.

    Under University policy on parental elave, instructors are entitled to eighteen weeks of leave to provide care for the faculty member's child within twelve months of the birth, adoption, or foster care placement of the child, during which period the faculty member may use accrued sick leave. If the faculty member exhausts all accrued sick leave before the end of the eighteen-week period, then the faculty member may continue the leave for the remainder of the period at half pay with full benefits.

    Instructors are eligible for most faculty teaching and service awards and may apply for most faculty development fund programs offered to the general tenure-track faculty, such as travel or research/creative work awards. Administrative units at all levels should consider applications from rostered instructors for any administrative position (excluding those that involve personnel actions concerning tenure-track faculty) where the terms of that position and of their base appointment are in accord.

Instructors also are eligible for parking, bookstore, recreation center, library, and University ID privileges as permitted by specific campus policies.

Sufficient support for the instructional responsibilities of Instructors will be provided, including library privileges, reasonable use of office staff support, and space for meeting with students. Instructors are encouraged to participate in faculty governance to the full extent permitted by department or primary unit bylaws.

5. EVALUATION: Evaluation for annual merit will be based upon the merit weighting defined at the time of appointment unless it is subsequently modified in writing. The criteria used for annual evaluation must be available in writing to all faculty. Instructors need to maintain currency in their area of teaching, and such currency should be demonstrated during the annual evaluation. Each unit should determine the appropriate measures to be used and any appropriate support for faculty development that may be provided. Annual merit evaluations will be conducted by the unit using procedures established in writing.

6. PROMOTION TO THE RANK OF SENIOR INSTRUCTOR: Instructors will normally be considered for promotion to the rank of Senior Instructor after a period of six years of continuous appointment at the rank of Instructor at greater than 50% time. Up to three years' credit towards promotion, based on previous academic service, may be awarded at the time of initial appointment. Promotion after six years is not mandatory, nor is it a right. Units will establish the criteria for promotion to Senior Instructor. The review for promotion should include a rigorous accounting of the candidate's teaching record, using multiple measures, an evaluation of the individual's service, and a demonstration of the individual's continued currency in the field.

III. SENIOR INSTRUCTOR

1. DEFINITION: The title of Senior Instructor is a non-tenure-track faculty position. Senior Instructors normally hold a terminal degree appropriate for the discipline. Appointment may range from less than 50% to full-time. Senior Instructors generally teach undergraduate courses and may have advising responsibilities and some administrative responsibilities in addition.

2. APPOINTMENT AND REAPPOINTMENT:
Appointment as a full-time Senior Instructor is made through the CU System's Instructor Employment Agreement (available on the Office of Faculty Affairs website), assuming the Senior Instructor meets the qualifications for placement on such an agreement, described above. A letter of initial appointment should be for three years. This agreement is accompanied by a CU Boulder campus letter of offer that describes, among other things, annual merit weights. Senior Instructors will be reviewed every year as part of the annual merit process.

Senior Instructors must undergo a formal review for reappointment before the end of

their final year of appointment, preferably in the first semester of that year. After the first three-year appointment, the Senior Instructor will undergo a formal, but expedited review. The chair and/or dean will review the Senior Instructors file. If the Senior Instructor has been meeting or exceeding expectations, as indicated by appropriate measures of teaching, for example, then a new three-year contract may be issued. If the chair and/or dean see the need for a full review, that review will be conducted.

In all cases, after the first six years as a Senior Instructor, the faculty member will undergo a full formal review by the department. If the Senior Instructor continues to be employed by the university, reviews will alternate between expedited reviews and full reviews, with this six year timeline for and rigor of the full review being in rough parallel to post-tenure review for tenured faculty. The unit should establish the criteria for successful reappointment, which should include an evaluation of teaching and other duties. A faculty committee should be involved in this review.

In most cases, reappointments of senior instructors will be for more than one year and may be for up to three years. However, when a reappointment process results in recommendation of a one-year probationary period to correct problems in performance, a one-year reappointment will be permitted; during the course of that year, another evaluation should take place that would result in either a three year reappointment or non-reappointment.

3. SALARY: Initial salaries for senior instructors will normally be greater than those earned by instructors in their initial appointments.

4. BENEFITS: Benefits for senior instructors are the same as those of instructor-rank faculty, plus the following:
Senior instructors who have completed six years (twelve semesters) in rank (at 100% time appointment) either as an instructor appointed as a Senior Instructor or as a Senior Instructor will be eligible to apply for a differentiated workload for one semester. If granted, the differentiated workload will reduce the formal teaching responsibilities of the senior instructor to one 3-credit course (or its equivalent) for that semester. The purpose of this workload adjustment is to allow senior instructors time to update their pedagogy and instructional skills, develop new curriculum, or incorporate instructional technology activities into their teaching. The faculty member on differentiated workload is expected to remain on campus and serve the campus full-time as otherwise defined by the appointment letter. Senior instructors with appointments of less than 100% (but at least 50%) full-time shall be eligible for this benefit on a pro-rated basis. For example, a 50% senior instructor will be eligible to apply for a differentiated workload after 24 semesters. Application for a differentiated workload assignment is made to the unit chair or director and must be approved in writing by the dean. Senior instructors are eligible for emeritus status upon retiring.

5. EVALUATION: Same as for Instructors (above).

6. PROMOTION TO THE RANK OF TEACHING PROFESSOR: Senior Instructors with at least three years in rank may be considered for the honorific working title of Teaching Professor as described below.

IV. TEACHING PROFESSOR

Definition:
1. DEFINITION: The title of Teaching Professor is a working title. A Teaching Professor will still hold the rank and position of Senior Instructor, which is a non-tenure-track faculty position. Senior Instructors normally hold a terminal degree appropriate for the discipline. Appointment may range from less than 50% to full-time. Teaching Professors generally teach undergraduate courses and may have advising responsibilities and some administrative responsibilities in addition.

2. APPOINTMENT AND REAPPOINTMENT
   After a minimum of three years at the rank of senior instructor, senior instructors who have been exemplary teachers and members of the university community may be considered for the title of "*Teaching Professor*." The working title of Teaching Professor will be given to a limited proportion of senior instructors to recognize a record of distinction. Since this third title is an honor, there is no expectation that the granting of this title will occur at a particular point in the individual's career after three years in rank as senior instructor, nor is there an expectation that each senior instructor should seek this title. Although senior instructors may, as a matter of convenience, seek promotion to Teaching Professor at the point of regular reappointment and contract renewal, a senior instructor may seek promotion at any time after three years in rank. Promotion materials should be submitted to the primary unit in the early fall, on a schedule consistent with normal reappointments and promotions to senior instructor. If someone is nominated for the title of "Teaching Professor" and then is not approved, that decision has no implications for the individual's status as a senior instructor; that individual could be nominated for promotion to Teaching Professor again.

Expectations for Promotion to Teaching Professor

To determine whether an individual should be named Teaching Professor, faculty committees will examine the nominee's teaching record, together with his/her service and leadership (including outreach and engagement), to determine whether this is a record of distinction.

A "record of distinction" typically carries the expectation that the individual has made a major impact in the disciplinary unit and its students (e.g. on pedagogy and curriculum), one that likely extends to considerable impact on the campus generally and/or a role in national discussions.

Multiple measures of exemplary performance constituting a record of distinction should be used. Examples of multiple measures may include, but are not limited to:

- A record of exemplary classroom teaching, including the following:
  - FCQs
  - Peer evaluations of teaching
  - Letters from students
- Contributions to course and curriculum development
- Contributions to the scholarship of teaching and learning, including the following:
  - Contributions to local or national workshops on teaching
  - Relevant publications such as textbooks, lab manuals, articles on pedagogy, etc.
  - Work that improves teaching across multiple units
  - Papers, posters, or presentations on pedagogical topics delivered at conferences
- Evidence of student engagement, as evidenced, for example, through mentoring of students or service on honors thesis committees.
- Leadership and service that have an impact on the unit, school/college, campus and/or national communities.
- Outreach to communities and partners beyond the university, including non-profits, or disadvantaged groups, that draws upon the instructor's expertise.
- Practitioner experience that supplements a teaching career.

Review Process

Unit-Level Review. When a senior instructor wishes to apply for promotion to Teaching Professor, or when the unit wishes to nominate that person, the chair/director of the unit should call upon the appropriate faculty committee (e.g. the committee typically convened to review instructors) to review and advance a nomination packet which will include:

- a letter of nomination from the chair,
- one or more supporting letters (which may be from outside the unit or campus),
- a vita,
- a teaching statement,
- a service statement, and
- a teaching portfolio that speaks to multiple measures of exemplary performance (see above for examples of multiple measures of exemplary performance).

The department will vote on the granting of the title. If the vote is positive, the case will be forwarded to the school/college.

School/College Review. Given the endorsement of the unit, the nomination packet will be reviewed at the school/college level by the appropriate committee. If that committee

ratifies the nomination, it goes to the dean. The dean will consider the nomination and, if s/he approves it, s/he will write a letter of support and send the case to the Provost.

Campus-Level Review. The Provost will convene a committee composed of three vice provosts and four faculty members, selected by the provost with the approval of BFA; initially, the four faculty members will all be tenured faculty members, but as instructors receive the title of "Teaching Professor" they will provide at least two of the four faculty members. The Provost, with the concurrence of the Chancellor, will grant the title. Only positive recommendations move from level to level.

3   SALARY: Upon promotion to Teaching Professor, the individual will receive a salary increment to be added to the base academic-year salary. Initial salaries for Teaching Professors will normally be greater than those earned by Senior Instructors in the same unit in their initial appointments.

4   BENEFITS: Benefits for Teaching Professors are the same as those of Senior Instructor-rank faculty,

V. GRIEVANCE PROCESSES FOR INSTRUCTORS AND SENIOR   INSTRUCTORS

All employees of the University of Colorado Boulder are guaranteed freedom of speech. Reappointment will not be jeopardized by exercise of that freedom.

Where an instructor feels that s/he has been subject to discrimination or harassment, s/he should pursue remedy through the Office of Institutional Equity and Compliance.

If an instructor is dismissed for cause, grievances are handled in the normal manner for such dismissals.

Non-renewal is not dismissal. To preserve the employee's rights to grieve non- renewal, rostered instructors on multi-year letters of offer or CU System Instructor Employment Agreements must be notified at least six weeks before the end date in the letter of offer whether (a) s/he will be renewed; (b) s/he will not be renewed; or (c) his/her renewal is still pending.

If an instructor feels s/he has been denied reappointment unfairly, by a process that has been arbitrary, capricious, retaliatory, inconsistent with the treatment of peers in similar circumstances, or based on personal malice, s/he can grieve the non- renewal.

A fast-track grievance procedure will be established in all schools and colleges to hear grievances while the instructor is still a member of the university community.

provide funding for a specified program.

The exact amount of money necessary to create a named professorship or an endowed chair is a matter of negotiation between the campus and the Foundation; the money needed to create an endowed chair may vary from college/school to college/school and, if necessary, within a college/school.

Funding agreements for named professorships and endowed chairs are a delicate matter; they will in most cases be negotiated between a donor, the Foundation, and a dean (though in some cases. a chair as a well as a dean may be involved). To insure that any restrictions on such positions are in accord with campus policies and practices, these agreements should be reviewed by the Office of Academic Affairs.

Named and chaired professorships are reviewed at least every four years by the department (where appropriate), the dean, and the Office of Faculty Affairs. Faculty may be reappointed to a named or chaired professorship for an unlimited number of terms, unless such a reappointment is restricted by the gift agreement.

Professor of Practice of _____, Boulder Campus
In some programs, particularly in the professional schools, it may be desirable to make appointments to the faculty from among individuals who have substantial expertise in a profession or discipline gained outside the academy that is still of particular importance to the program's mission. As this title is "Professor of Practice" (there are no other ranks), an individual holding it will nominally have the terminal degree and will be someone whose work in the field is recognized by peers as significant; since this person will be appointed as a "Professor of Practice" rather than as an instructor, he or she should have made outstanding contributions to the discipline, field, or profession. Such individuals will contribute to teaching students the skills, methods, and values of their field, discipline or profession, provide leadership in service activities, and/or contribute to the research/creative work of the unit.

Professors of Practice are appointed for terms up to four years; they are subject to formal evaluation in their final year for possible reappointment to another term. Appointments and reappointments of Professors of Practice should be reviewed by the appropriate dean and by the Office of Faculty Affairs.
Professors of Practice are "at will" employees not eligible for tenure and thus have a different status than tenure track faculty. All faculty are expected to follow the guidelines of the BFA's document on *Professional Rights and Duties of Faculty Members*, Part II, "Professional Responsibilities, Ethical Principles, and Faculty Conduct."

"At will" faculty, like other faculty, receive such privileges as library access, parking, access to office and research space, and other resources that are necessary to carry out their university responsibilities. Voting rights (except in the case of decisions involving tenure and promotion which are reserved for the appropriate ranks of the tenured and tenure track faculty) for "at will" faculty are determined by the bylaws of the department and/or school or college with which they are affiliated. A major responsibility of the University is to protect and encourage faculty in its teaching, learning, research, and public service activities, and it will make every effort to protect the academic freedom of "at will" faculty. Where an "at will" faculty member's complaint or

grievance does not involve academic freedom and where it is not covered by federal or state statute or by existing university or campus policies and procedures, such complaints and/or grievances will be heard by the unit with which the faculty member is affiliated and, if necessary, by the appropriate dean whose ruling in such eases will be final. Professors of Practice are eligible for the same benefit as those holding the title of instructor.

School of Education Non-Tenure-Track Faculty Report

Preface

In the spring of 2001, the CU campuses provided the Board of Regents with a progress report on the implementation of recommendations issued by a 1999 *ad hoc* committee on non-tenure-track faculty (NTTF). The recommendations were endorsed by the Regents, each Faculty Assembly, the Faculty Council, and the President's Office. Since the original 2001 report, the campuses have provided updates on a biennial basis. The goals of the reporting process are to improve conditions for NTTF at CU and advance NTTF contributions to the university mission.

Report Template

Section A.   Titles, Contracts, and Workloads

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. **What titles are in use for NTTF?**
   Sr. Instructor, Instructor, Lecturer

2. **Are policies and procedures in place for initiating and reviewing NTTF contracts? If so, please summarize them.**

   For 100% appointments, appointments are initiated by the Associate Dean of Faculty or by Center Directors and approved by the Dean, contracts are initiated by the Director of HR and reviewed by the Dean and the Office of Faculty Affairs when applicable. For less than 100% appointments, contracts are initiated by the Director of HR and reviewed by the Dean.

3. **Are workloads specified for each job title? If so, what are those workloads?**
   A typical 100% workload for an instructor is considered eight courses per academic year (80% teaching, 20% service). Workloads are then negotiated on an individual basis for Instructors and Sr. Instructors depending on the teaching and administrative responsibilities of the position. Workloads for lecturers are specified on a per course basis each semester.

Section B.   Evaluation and Promotion

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. **What policies and procedures are in place to ensure systematic evaluation of NTTF? If so, please summarize them.**
   Lecturers in the School of Education do not have multi-year appointments, however, we do review FCQs each semester related to the courses taught.
   Instructors and Sr. Instructors are reviewed annually as part of the salary review process. In

2015, the School of Education also adopted Standards for Instructor Rank Reappointment and Promotion Evaluations. During their third year of their appointment, instructors submit a dossier to an evaluation and reappointment committee. The committee reviews the materials and submits their recommendation to the Dean regarding reappointment and promotion to senior instructor if the faculty member is eligible for promotion.

2. **How frequently are these evaluations conducted?**
Faculty are reviewed annually as part of the annual merit process. More extensive evaluations are conducted every three years for instructors and senior instructors on multi-year contracts.

3. **Are there policies and procedures for promotion within and between appropriate title categories? If so, please summarize them.**
Instructors will normally be considered for promotion to Senior Instructor after a period of seven years of continuous appointment at greater than 50% time. Up to three years credit towards promotion, based on previous academic service, may be awarded at the time of initial appointment. Instructors can request a promotion at any time during their appointment but it is normally requested at the time of reappointment. The evaluation and reappointment committee will evaluate the materials submitted by the instructor and make a recommendation to the dean.

Section C.   Compensation and Benefits

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. **At what percentage of FTE are the NTTF holding various titles eligible for benefits?**
(The 1999 NTTF Recommendations set the goal that "Each primary unit determines what a full-time workload is for its NTTF, and that 50% workload be understood to be half of that departmentally-determined full-time load.")
A full-time teaching load (100% appointment) for an Instructor or Sr. Instructor in the School of Education is 8 courses per academic year (4 courses per semester). Consistent with university policy, a 50% appointment is benefits eligible

2. **How are the policies and procedures related to compensation and benefits made readily accessible to NTTF, their supervisors, and relevant staff?**
Compensation is communicated on a case-by-case basis. For information related to policies and procedures, NTTF are referred to a number of online resources (School of Education website for reappointment and promotion, Faculty affairs website for faculty information or Employee Services for benefit information).

Section D.   Professional Development, Recognition, and Grievance

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. **What opportunities and types of support are available to NTTF for professional development?**
   Depending on their position, NTTF attend monthly faculty meetings, semester teacher education meetings, and conferences.

2. **How are NTTF recognized for excellent performance? For instance, are there any awards or other public expressions of appreciation for contributions to the University's mission?**
   Not at the moment.

3. **Are there policies and procedures for addressing grievances by NTTF? If so, please summarize them.**
   As members of the faculty, Instructors and Sr. Instructors have access to the grievance procedures specified in the School of Education by-laws.

ENVD NON-TENURE TRACK FACULTY REPORT

Preface

In the spring of 2001, the CU campuses provided the Board of Regents with a progress report on the implementation of recommendations issued by a 1999 *ad hoc* committee on non-tenure-track faculty (NTTF). The recommendations were endorsed by the Regents, each Faculty Assembly, the Faculty Council, and the President's Office. Since the original 2001 report, the campuses have provided updates on a biennial basis. The goals of the reporting process are to improve conditions for NTTF at CU and advance NTTF contributions to the university mission.

Report Template

Section A.   Titles, Contracts, and Workloads

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1.   What titles are in use for NTTF? Instructor, Senior Instructor, Assistant Clinical Professor, and Lecturer

2.   Are policies and procedures in place for initiating and reviewing NTTF contracts? If so, please summarize them. Initiating NTTF contracts are typically done through a competitive recruitment process, led by a committee of ENVD faculty. On occasion, they may be direct appointed by the Director, provided their CVs, references, and letters of interest meet the expectations of the Office of Faculty Affairs. Reviewing contracts is done through an annual PUEC process.

     All contracts are initiated by ENVD HR. 100% contracts are reviewed by the Office of Faculty Affairs prior to routing to the Director, Dean, and appointee for signature. The Director and Dean review and approve part-time instructor appointments and lecturer appointments.

3.   Are workloads specified for each job title? If so, what are those workloads?
     a.   Full-time Instructors and Senior Instructors are given an 80% teaching, 20% service contract, with an expectation of teaching six courses per academic year. The clinical line is 40% teaching, 40% research, and 20% service, with an expectation of teaching four courses per academic year.

Section B.   Evaluation and Promotion

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1.   What policies and procedures are in place to ensure systematic evaluation of NTTF? If so, please summarize them. Each full-time NTTF undergoes a PUEC review at the end of their contract. The PUEC is made up of 3-4 ENVD faculty members and supported by staff. Reviewers look at a teaching statement, service statement and, if appropriate, research

statement provided by the instructor. They also review the instructors updated CV, course FCQs, and syllabi. A member of the committee will attend a class and provide a review. Previous students of the instructors are also asked to provide confidential feedback. After the information is collected and reviewed, the PUEC provides a recommendation for or against renewal.

2. Instructors and Senior Instructors are also reviewed annually through the annual FRPA review process executed by the ENVD Executive Committee.

3. How frequently are these evaluations conducted? The PUEC evaluations are conducted every 1-4 years, depending upon the circumstances of appointment and length of contract. Executive Committee reviews are done every year by April.

4. Are there policies and procedures for promotion within and between appropriate title categories? If so, please summarize them. Promotion from Instructor to Senior Instructor is typically done in conjunction with the PUEC review. If an Instructor is eligible for promotion based on number of years served, the PUEC committee will consider the promotion at the time of the review.

Section C.   Compensation and Benefits

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. At what percentage of FTE are the NTTF holding various titles eligible for benefits?

   (The 1999 NTTF Recommendations set the goal that "Each primary unit determines what a full-time workload is for its NTTF, and that 50% workload be understood to be half of that departmentally-determined full-time load.") All NTTF are eligible for benefits at 50% time.

2. How are the policies and procedures related to compensation and benefits made readily accessible to NTTF, their supervisors, and relevant staff? Policies and procedures are readily made available through human resources staff and the faculty affairs liaison located within the ENVD Program. Additional information is available through the CU website, with the link to the Benefits website contained in each offer letter.

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. What opportunities and types of support are available to NTTF for professional development? NTTF are encouraged to seek out professional development opportunities. Each faculty member is encouraged to join a relevant professional organization at the Program's expense. They have also been historically provided with at least $2000 in travel funds to attend conferences each academic year.

2. How are NTTF recognized for excellent performance? For instance, are there any awards or other public expressions of appreciation for contributions to the University's mission? ENVD has a formal recognition program that is utilized as appropriate for contributions that go above and beyond. Additionally, faculty who receive higher merit reviews during the annual FRPA review process typically receive larger merit increases.

3. Are there policies and procedures for addressing grievances by NTTF? If so, please summarize them. A grievance process has been developed and was put in place this ;ast academic year.

Colorado Law School

Non-Tenure-Track Faculty Law School Report
University of Colorado 2018

Table of Contents

Section A.   Titles, Contracts, and Workloads

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1.   What titles are in use for NTTF?
   a.   *Legal Writing Faculty: Instructor and Senior Instructor*
   b.   *Clinical Faculty: Clinical Professor*
   c.   *Law Library Faculty: Instructor and Senior Instructor*
   d.   *Scholar-in-Residence Faculty*
   e.   *NOTE: not including adjunct who are permanent employees*

2.   Are policies and procedures in place for initiating and reviewing NTTF contracts? If so, please summarize them.
   a.   *Legal Writing Faculty: contracts are evaluated under the University and Law School policies.*

   b.   *Clinical Faculty: contracts are reviewed under the timelines and processes set out in Law School Rule 1.5.5.*

   c.   *Law Library: All contracts for the initial hiring of library faculty are submitted to and approved by Faculty Affairs before being sent to the faculty member for signature.*

3.   Are workloads specified for each job title?   If so, what are those workloads?
   a.   *Legal Writing Faculty: each legal writing professor teaches Legal Research and Writing during the fall semester and Appellate Court Advocacy during the spring semester to approximately thirty first-year law students. Legal writing professors prepare lectures and discussions for classes each week, design writing projects, grade and critique several writing assignments each semester, and meet with students individually several times during the semester. After the initial term, the Legal Writing Faculty member will serve on one of the law school's faculty committees, and will have the opportunity to teach additional courses, according to his or her interests and the law school's needs. Legal writing professors also participate in service and professional activities as desired, and perform other duties as assigned.*

   b.   *Clinical Faculty: a clinician is expected to do everything necessary to competently handle the teaching and caseloads of her or his clinic. For teaching, that means preparing for, and leading 3 hours of seminar class each week. Caseloads very per clinic in what is required to be covered. Under the Colorado Rules of Professional Conduct, the Law School Clinics act competently (Rule 1.2) and diligently (Rule 1.3).*

   c.   *Law Library Faculty: Library Faculty have either: a 75% teaching/librarianship and 25% service (including professional writings) workload; or an 80% teaching/librarianship, 10% research, and 10% service workload, depending on their year of appointment/reappointment. Eventually, all non-tenure track library faculty will have a 75% teaching/librarianship and 25% service workload.*

Section B.   Evaluation and Promotion

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1.   What policies and procedures are in place to ensure systematic evaluation of NTTF? If so, please summarize them.

   a.   *Legal Writing Faculty: Legal Writing Faculty members are evaluated under the [University](#) and [Law School policies](#).*

   b.   *Clinical Faculty: The evaluation, tenure, and promotion policies that apply to Clinical faculty are set forth in [Rule 1.5.5](#) of the Colorado Law School Rules which are reproduced below.*

   c.   *Law Library Faculty: Library faculty are reviewed annually by their supervisor and Director of Law Library, using the standard campus form. Library faculty also fills out an annual "Faculty Report of Professional Activities.*

   Library Faculty are peer-reviewed by a committee of other library faculty members during the terminal year of their (re)appointment, determined by their date of original hire/reappointment. The Director of the Law Library is notified each fall semester if one or more library faculty members are eligible for reappointment. The Director appoints a three-person review committee for each faculty member eligible for reappointment.

   The faculty member eligible for reappointment submits a multi-year self evaluation for his/her accomplishments. The review committee conducts an internal review of the faculty member, with separate assessments of teaching/librarianship, scholarship (if applicable) and service, and makes a reappointment recommendation. The evaluative criteria are virtually identical to those of the faculty at the main library system on campus. Further, each libaray faculty member has a detailed job description to which he or she agreed at the time of initial hire. The job descriptions are reviewed regularly, and updated as needed, in consultation with the library faculty member. The library faculty then meets as a unit and votes on the recommendation to reappoint.

   The Director receives the review committee report, the faculty member's self-evaluation, and the record of the full faculty vote. The Director forwards the dossier to the Dean of the Law School with her own recommendation. The Dean makes his recommendation, based on the dossier in its entirety, and forwards it to Academic Affairs with the accompanying paperwork and dossier.

2.   How frequently are these evaluations conducted?

   a.   *Legal Writing Faculty: Annually*

   b.   *Clinical Faculty: Annually*

   c.   *Law Library Faculty: Annually for merit evaluations; at the end of the appointment period for comprehensive review.*

d. Scholar in Residence Faculty: Annually, should the contract exceed one year.

3. Are there policies and procedures for promotion within and between appropriate title categories? If so, please summarize them.
   a. *Legal Writing Faculty: policies and procedures for promotion for Legal Writing Faculty members are under the University and Law School policies.*

   b. *Clinical Faculty: The evaluation, tenure, and promotion policies that apply to Clinical faculty are set forth in Rule 1.5.5 of the Colorado Law School Rules which are reproduced below.*

   c. *Law Library Faculty: No unit policies or procedures; University and Boulder Campus criteria are followed.*

Section C. Compensation and Benefits

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. At what percentage of FTE are the NTTF holding various titles eligible for benefits?
   a. *All CU Law NTTF at ≥50% FTE are eligible for benefits.*

2. How are the policies and procedures related to compensation and benefits made readily accessible to NTTF, their supervisors, and relevant staff?
   a. *Policies and procedures related to compensation and benefits for CU Law NTTF are posted on the University of Colorado benefits website (https://www.cu.edu/pbs/benefits/) and are readily accessible to all faculty and to the public. NTTF are notified of their compensation and benefits eligibility in their offer letter and are encouraged to attend a benefits orientation through Payroll and Benefit Services.*

Section D.   Professional Development, Recognition, and Grievance

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. What opportunities and types of support are available to NTTF for professional development?
   a. *As stated in the Colorado Law School [Faculty Development Policy and Supplemental Funding](), NTTF are allocated a yearly monetary amount for professional growth and development as well as for research and scholarship related activities.*

2. How are NTTF recognized for excellent performance? For instance, are there any awards or other public expressions of appreciation for contributions to the University's mission?
   a. *Legal Writing Faculty: Faculty members are recognized for their excellent performance on their annual evaluation with a score of "Far Exceeds Expectations"*

   b. *Clinical Faculty: Faculty members are recognized for their excellent performance on their annual evaluation with a score of "Far Exceeds Expectations"*

   c. *Law Library Faculty: the law library administration recognizes library faculty for individual and group achievements both informally, as appropriate, and formally, in faculty and staff meetings. The occasion of the annual evaluation is also used to recognize and document excellent performance. The law library administration regularly nominates members of the library faculty for state, national, and regional awards. There is no internal awards program for this small faculty.*

3. Are there policies and procedures for addressing grievances by NTTF? If so, please summarize them.
   a. *Policies and procedures for all NTTF to address grievances are stated in Colorado Law School Miscellaneous rule [32.C - Faculty Salary Grievance Procedure](): A salary grievance filed by a person who is not tenured or tenure-track faculty shall be decided by a three-person panel to consist of one member named by the grievant at the time the request is filed, one member appointed by the Dean within three days thereafter, and one member jointly named by the first two within three days after appointment of the second. All members of the panel shall be persons on full-time service during the fall semester who participate in a salary raise pool.*

§1-5-5 Clinical Faculty Appointments

A.   Standards for Appointment.

   i.   All clinical faculty ("Clinical Faculty") are required to have a terminal degree of JD, LLB, or an equivalent degree in law.

   ii.   A person who has held the terminal degree for less than four years at the time she or he commences teaching at this School may be appointed as an Assistant Clinical Professor.

   iii.   A person who has previous clinical law teaching experience or law practice experience and who has held the terminal degree for at least four years at the time she or he commences teaching at this School may be appointed as an Associate Clinical Professor.

   iv.   A person who has previous clinical law teaching experience of at least six years at the time that she or he commences teaching at this School may be appointed as a Clinical Professor.

B.   Terms of Appointment and Eligibility for Reappointment: At-Will Employment.

   i.   All Clinical Faculty are deemed employees-at-will whose appointments are subject to termination by either party at any time during its term.

   ii.   There is no limit to the number of times that a Clinical Faculty member may be reappointed. However, any Clinical Faculty member's reappointment for an additional term does not change the nature of the Clinical Faculty member's at-will employment status, which remains subject to termination by either party at any time during its term.

   ii.   No compensation, whether as a buyout of the remaining term of the appointment, as liquidated damages, or as any other form of remuneration, shall be owed or paid to you upon or after termination of such appointment except for compensation that was earned prior to the date of termination.

C.   Assistant Clinical Professor.

   i.   Persons hired as Assistant Clinical Professors will receive an initial appointment term of two years. After her or his first year of service, an Assistant Clinical Professor will be reviewed for reappointment pursuant to Section G. Upon successful evaluation, an Assistant Clinical Professor is eligible for reappointment to another term of two years. However, any reappointment for such additional two-year terms does not change the nature of the Clinical Faculty member's at-will employment status, which remains subject to termination by either party at any time during its term.

   ii.   An Assistant Clinical Professor is eligible for evaluation for promotion to the rank of Associate Clinical Professor only after having completed at least three years of service as an Assistant Clinical Professor. Evaluation for promotion to Associate Clinical

Professor will occur during the fourth year of service. Upon the Assistant Clinical Professor's initial appointment, she or he may receive one or more years of credit towards the three-year service period based on prior university teaching or other comparable experience. The promotion to Associate Clinical Professor will carry with it a new appointment of three years. A case for reappointment or promotion must be reviewed by the dean and the Office of Faculty Affairs.

D.   Associate Clinical Professor.

i.   In most cases, a person initially hired as Associate Clinical Professors is eligible for appointment to a term not to exceed two years. During her or his second year of service, upon successful evaluation, an Associate Clinical Professor is eligible for reappointment to one or more terms not to exceed three years in length. Persons who are promoted into the position of Associate Clinical Professor will receive an appointment term of three years. However, any reappointment for such additional three-year terms does not change the nature of the clinical faculty member's at-will employment status, which remains subject to termination by either party at any time during its term.

ii.   An Associate Clinical Faculty member is eligible for a new appointment at the rank of Clinical Professor only after having completed at least six years of service as a Clinical Faculty member. One or more years of credit towards the six-year service period may be allowed on initial appointment for prior university teaching or other comparable experience of such faculty member. Should an Associate Clinical Professor be granted a new appointment, she or he will assume the rank of Clinical Professor at the beginning of her or his fourth year of service. A case for the new appointment must be reviewed by the dean and the Office of Faculty Affairs.

E.   Clinical Professor. In most cases, a person appointed as a Clinical Professor is eligible for appointment to a term not to exceed four years. Upon successful evaluation, a Clinical Professor is eligible for reappointment to one or more terms not to exceed four years in length. However, any reappointment for such additional four-year terms does not change the nature of the clinical faculty member's at-will employment status, which remains subject to termination by either party at any time during its term.

F.   Standard for Reappointment and Promotion.

i.   To qualify for reappointment, a faculty member must be making satisfactory progress towards meeting or exceeding expectations based on the G. Evaluation of Clinical Faculty as defined below.

ii.   To be granted a new appointment as an Associate Clinical Professor, a clinical faculty member should have demonstrated success as a clinical teacher.

iii.   To be granted a new appointment as a full Clinical Professor, a clinical faculty member must have a record that is, on the whole, excellent and that indicates substantial, significant, and continued growth, development, and accomplishment in the areas of teaching, clinical work, and service.

G. Evaluation of Clinical Faculty. The evaluation will be conducted by the clinical faculty member's Faculty Evaluation Committee, pursuant to Rules 1-7-3 (b) and 1-7-5 (c). The Faculty Evaluation Committee will be comprised of the Director of Clinical Education, a clinical faculty member of same or senior rank, and a faculty member who is appointed by the Director of Clinical Education. Recommendations for appointments at a higher rank are made by a simple majority vote of the committee. Such recommendations will be reviewed and approved by the dean with the concurrence of the Office of Faculty Affairs. All appointments are subject to the approval of the Chancellor. The Committee will generate a written evaluation of the clinical faculty member that also sets forth the Committee's recommendation to the Dean on whether to renew the clinical faculty member's appointment.

The Clinical Faculty Evaluation Committee will conduct its evaluation utilizing the below methods: (Methods are not listed in priority or order of importance.)

    i.   75%

        a.   Class observations by the Director of Clinical Programs or her or his designee and a peer clinical faculty member.

        b.   Interviews with students and former students (when feasible) about the quality of the experience with the clinical faculty member.

        c.   The observations and student interviews shall focus on whether the clinical faculty member demonstrates:

            (1) Sufficient knowledge of the appropriate subject matter;

            (2) Sufficient knowledge of the practical application of the subject matter;

            (3) Strong oral communication skills;

            (4) Teaching techniques that demonstrate appropriate skills.

        d.   Review of the syllabus and course materials for soundness and effective pedagogy.

        e.   The results of Faculty Course Questionnaires (FCQ).

        f.   The ability to maintain an active and sufficient caseload within the clinic, reflective of the area of the law practiced and that provides service to the university and the public at-large with the goal of giving the students a meaningful experience.

    ii.   25%

        a.   Interviews with other clinical faculty members and clinical staff. These interviews shall focus on whether the clinical faculty member:

            (1) Maintains a professional environment

(2) Demonstrates commitment to their clinic

(3) Appropriately and professionally utilizes and supports the clinical staff and faculty

b. Interviews with judges and practicing attorneys. These interviews shall focus on whether the clinical faculty member:

(1) Teaches students adequate skills and professionalism; and

(2) Prepares students for practice in the clinic's area of law.

c. Participation in Law School and/or University activities that demonstrate a commitment to the vision and mission of the school and its clinical programs.

d. Willingness to serve on law school committees and to provide service to the law school.

e. Willingness to provide service to the profession and professional associations, including community legal education and public service.

f. A faculty member in the first several years of employment must devote most of her or his time to developing as a clinical teacher, thus considerably less emphasis is given to service on initial reappointment, although some service involvement even in the first few years is expected. Considerably more will be expected in the way of institutional, professional, and public service for promotion to full professor. However, absence of extensive professional and public service will not be a bar to promotion where there is demonstrated excellence in teaching and clinical work.

iii. Each criterion will be evaluated on the following scale:
- Far Exceeds Expectations
- Exceeds Normal Expectations
- Meets Normal Expectations
- Below Expectations
- Unsatisfactory

Colorado Rules of Professional Conduct: RULE 1.2. SCOPE OF REPRESENTATION AND ALLOCATION OF AUTHORITY BETWEEN CLIENT AND LAWYER

(a) Subject to paragraphs (c) and (d), a lawyer shall abide by a client's decisions concerning the objectives of representation and, as required by Rule 1.4, shall consult with the client as to the means by which they are to be pursued. A lawyer may take such action on behalf of the client as is impliedly authorized to carry out the representation. A lawyer shall abide by a client's decision whether to settle a matter. In a criminal case, the lawyer shall abide by the client's decision, after consultation with the lawyer, as to a plea to be entered, whether to waive jury trial and whether the client will testify.

(b) A lawyer's representation of a client, including representation by appointment, does not constitute an endorsement of the client's political, economic, social or moral views or activities.

(c) A lawyer may limit the scope or objectives, or both, of the representation if the limitation is reasonable under the circumstances and the client gives informed consent. A lawyer may provide limited representation to pro se parties as permitted by C.R.C.P. 11(b) and C.R.C.P. 311(b).

(d) A lawyer shall not counsel a client to engage, or assist a client, in conduct that the lawyer knows is criminal or fraudulent, but a lawyer may discuss the legal consequences of any proposed course of conduct with a client and may counsel or assist a client to make a good faith effort to determine the validity, scope, meaning or application of the law.

COMMENT

Allocation of Authority between Client and Lawyer

[1] Paragraph (a) confers upon the client the ultimate authority to determine the purposes to be served by legal representation, within the limits imposed by law and the lawyer's professional obligations. The decisions specified in paragraph (a), such as whether to settle a civil matter, must also be made by the client. See Rule 1.4(a)(1) for the lawyer's duty to communicate with the client about such decisions. With respect to the means by which the client's objectives are to be pursued, the lawyer shall consult with the client as required by Rule 1.4(a)(2) and may take such action as is impliedly authorized to carry out the representation.

[2] On occasion, however, a lawyer and a client may disagree about the means to be used to accomplish the client's objectives. Clients normally defer to the special knowledge and skill of their lawyer with respect to the means to be used to accomplish their objectives, particularly with respect to technical, legal and tactical matters. Conversely, lawyers usually defer to the client regarding such questions as the expense to be incurred and concern for third persons who might be adversely affected. Because of the varied nature of the matters about which a lawyer and client might disagree and because the actions in question may implicate the interests of a tribunal or other persons, this Rule does not prescribe how such disagreements are to be resolved. Other law, however, may be applicable and should be consulted by the lawyer. The lawyer should also

consult with the client and seek a mutually acceptable resolution of the disagreement. If such efforts are unavailing and the lawyer has a fundamental disagreement with the client, the lawyer may withdraw from the representation. See Rule 1.16(b)(4). Conversely, the client may resolve the disagreement by discharging the lawyer. See Rule 1.16(a)(3).

[3] At the outset of a representation, the client may authorize the lawyer to take specific action on the client's behalf without further consultation. Absent a material change in circumstances and subject to Rule 1.4, a lawyer may rely on such an advance authorization. The client may, however, revoke such authority at any time.

[4] In a case in which the client appears to be suffering diminished capacity, the lawyer's duty to abide by the client's decisions is to be guided by reference to Rule 1.14.

Independence from Client's Views or Activities

[5] Legal representation should not be denied to people who are unable to afford legal services, or whose cause is controversial or the subject of popular disapproval. By the same token, representing a client does not constitute approval of the client's views or activities.

Agreements Limiting Scope of Representation

[6] The scope of services to be provided by a lawyer may be limited by agreement with the client or by the terms under which the lawyer's services are made available to the client. When a lawyer has been retained by an insurer to represent an insured, for example, the representation may be limited to matters related to the insurance coverage. A limited representation may be appropriate because the client has limited objectives for the representation. In addition, the terms upon which representation is undertaken may exclude specific means that might otherwise be used to accomplish the client's objectives. Such limitations may exclude actions that the client thinks are too costly or that the lawyer regards as repugnant or imprudent.

[7] Although this Rule affords the lawyer and client substantial latitude to limit the representation, the limitation must be reasonable under the circumstances. If, for example, a client's objective is limited to securing general information about the law the client needs in order to handle a common and typically uncomplicated legal problem, the lawyer and client may agree that the lawyer's services will be limited to a brief telephone consultation. Such a limitation, however, would not be reasonable if the time allotted was not sufficient to yield advice upon which the client could rely. Although an agreement for a limited representation does not exempt a lawyer from the duty to provide competent representation, the limitation is a factor to be considered when determining the legal knowledge, skill, thoroughness and preparation reasonably necessary for the representation. See Rule 1.1.

[8] All agreements concerning a lawyer's representation of a client must accord with the Rules of Professional Conduct and other law. See, e.g., Rules 1.1, 1.8 and 5.6.

Criminal, Fraudulent and Prohibited Transactions

[9] Paragraph (d) prohibits a lawyer from knowingly counseling or assisting a client to commit a crime or fraud. This prohibition, however, does not preclude the lawyer from giving an honest

opinion about the actual consequences that appear likely to result from a client's conduct. Nor does the fact that a client uses advice in a course of action that is criminal or fraudulent of itself make a lawyer a party to the course of action. There is a critical distinction between presenting an analysis of legal aspects of questionable conduct and recommending the means by which a crime or fraud might be committed with impunity.

 [10] When the client's course of action has already begun and is continuing, the lawyer's responsibility is especially delicate. The lawyer is required to avoid assisting the client, for example, by drafting or delivering documents that the lawyer knows are fraudulent or by suggesting how the wrongdoing might be concealed. A lawyer may not continue assisting a client in conduct that the lawyer originally supposed was legally proper but then discovers is criminal or fraudulent. The lawyer must, therefore, withdraw from the representation of the client in the matter. See Rule 1.16(a). In some cases, withdrawal alone might be insufficient. It may be necessary for the lawyer to give notice of the fact of withdrawal and to disaffirm any opinion, document, affirmation or the like. See Rule 4.1.

 [11] Where the client is a fiduciary, the lawyer may be charged with special obligations in dealings with a beneficiary.

 [12] Paragraph (d) applies whether or not the defrauded party is a party to the transaction. Hence, a lawyer must not participate in a transaction to effectuate criminal or fraudulent avoidance of tax liability. Paragraph (d) does not preclude undertaking a criminal defense incident to a general retainer for legal services to a lawful enterprise. The last clause of paragraph (d) recognizes that determining the validity or interpretation of a statute or regulation may require a course of action involving disobedience of the statute or regulation or of the interpretation placed upon it by governmental authorities.

 [13] If a lawyer comes to know or reasonably should know that a client expects assistance not permitted by the Rules of Professional Conduct or other law or if the lawyer intends to act contrary to the client's instructions, the lawyer must consult with the client regarding the limitations on the lawyer's conduct. See Rule 1.4(a)(5).

 (a) Subject to paragraphs (c) and (d), a lawyer shall abide by a client's decisions concerning the objectives of representation and, as required by Rule 1.4, shall consult with the client as to the means by which they are to be pursued. A lawyer may take such action on behalf of the client as is impliedly authorized to carry out the representation. A lawyer shall abide by a client's decision whether to settle a matter. In a criminal case, the lawyer shall abide by the client's decision, after consultation with the lawyer, as to a plea to be entered, whether to waive jury trial and whether the client will testify.

 (b) A lawyer's representation of a client, including representation by appointment, does not constitute an endorsement of the client's political, economic, social or moral views or activities.

 (c) A lawyer may limit the scope or objectives, or both, of the representation if the limitation is reasonable under the circumstances and the client gives informed consent. A lawyer may provide limited representation to pro se parties as permitted by C.R.C.P. 11(b) and C.R.C.P. 311(b).

(d) A lawyer shall not counsel a client to engage, or assist a client, in conduct that the lawyer knows is criminal or fraudulent, but a lawyer may discuss the legal consequences of any proposed course of conduct with a client and may counsel or assist a client to make a good faith effort to determine the validity, scope, meaning or application of the law.

Colorado Rules of Professional Conduct: RULE 1.3. DILIGENCE

A lawyer shall act with reasonable diligence and promptness in representing a client.

COMMENT

[1] A lawyer should pursue a matter on behalf of a client despite opposition, obstruction or personal inconvenience to the lawyer, and take whatever lawful and ethical measures are required to vindicate a client's cause or endeavor. A lawyer must also act with commitment and dedication to the interests of the client and with zeal in advocacy upon the client's behalf. A lawyer is not bound, however, to press for every advantage that might be realized for a client. For example, a lawyer may have authority to exercise professional discretion in determining the means by which a matter should be pursued. See Rule 1.2. The lawyer's duty to act with reasonable diligence does not require the use of offensive tactics or preclude the treating of all persons involved in the legal process with courtesy and respect.

[2] A lawyer's work load must be controlled so that each matter can be handled competently.

[3] Perhaps no professional shortcoming is more widely resented than procrastination. A client's interests often can be adversely affected by the passage of time or the change of conditions; in extreme instances, as when a lawyer overlooks a statute of limitations, the client's legal position may be destroyed. Even when the client's interests are not affected in substance, however, unreasonable delay can cause a client needless anxiety and undermine confidence in the lawyer's trustworthiness. A lawyer's duty to act with reasonable promptness, however, does not preclude the lawyer from agreeing to a reasonable request for a postponement that will not prejudice the lawyer's client.

[4] Unless the relationship is terminated as provided in Rule 1.16, a lawyer should carry through to conclusion all matters undertaken for a client. If a lawyer's employment is limited to a specific matter, the relationship terminates when the matter has been resolved. If a lawyer has served a client over a substantial period in a variety of matters, the client sometimes may assume that the lawyer will continue to serve on a continuing basis unless the lawyer gives notice of withdrawal. Doubt about whether a client-lawyer relationship still exists should be clarified by the lawyer, preferably in writing, so that the client will not mistakenly suppose the lawyer is looking after the client's affairs when the lawyer has ceased to do so. For example, if a lawyer has handled a judicial or administrative proceeding that produced a result adverse to the client and the lawyer and the client have not agreed that the lawyer will handle the matter on appeal, the lawyer must consult with the client about the possibility of appeal before relinquishing responsibility for the matter. See Rule 1.4(a)(2). Whether the lawyer is obligated to prosecute the appeal for the client depends on the scope of the representation the lawyer has agreed to provide to the client. See Rule 1.2.

[5] To prevent neglect of client matters in the event of a sole practitioner's death or disability, the duty of diligence may require that each sole practitioner prepare a plan, in conformity with applicable rules, that designates another competent lawyer to review client files, notify each client of the lawyer's death or disability, and determine whether there is a need for immediate protective action. Cf. Rule 28 of the American Bar Association Model Rules for Lawyer Disciplinary Enforcement (providing for court appointment of a lawyer to inventory files and

take other protective action in absence of a plan providing for another lawyer to protect the interests of the clients of a deceased or disabled lawyer); C.R.C.P. 251.32(h).

APPOINTMENT, EVALUATION, AND PROMOTION OF LECTURER AND INSTRUCTOR RANK FACULTY

The purpose of this document is to provide to members of the Boulder campus community a set of guidelines for the appointment, evaluation, and reappointment of non-tenure track teaching faculty in the lecturer, instructor, and senior instructor faculty ranks. The genesis of this document was a document moved and adopted by the Boulder Faculty Assembly on April 2, 1998 titled "Instructors' Bill of Rights".

Lecturers and instructors play an integral part in the ability of the Boulder campus to provide the breadth and quality of educational experience expected of an AAU public university. Lecturers and instructors supplement and complement the teaching activities of the tenure-track faculty, and in so doing they allow the tenure-track faculty to engage more students in individualized instructional opportunities in their studios, libraries, and laboratories. They also provide the institution an ability to more rapidly adjust the educational opportunities to meet student needs and preferences than cannot always be accommodated for by the tenure-track faculty alone. It is important that the campus community recognize the important role played by instructors in enabling the campus to address both its research and its teaching missions. As such, primary units are encouraged to engage instructors and senior instructors in the departmental decision-making process whenever possible and appropriate.

The nature of the instructional mission of the Boulder campus is such that each college and school has a different need and pattern of employment of lecturers and instructors. Accordingly, the different colleges and schools utilize these titles differently, and attach different expectations and compensation to these titles. The guidelines below are meant to influence the application of these titles, not to inhibit their usefulness. Hiring units or individuals with questions concerning the rights and privileges of these titles should consult their deans office or the Office of Faculty Affairs.

All Lecturer, Instructor, and Senior Instructor positions are non-tenure track appointments. As such, they each are considered to be at-will appointments by the University and by the State of Colorado. All appointment letters of at-will employees must carry a description of at-will status. Nothing described in this document is meant to nor may it be interpreted to conflict with the at-will status of these job titles. An excerpt of that at-will statement appears below. The full text of the appropriate offer letter template is available in the Faculty Affairs A-Z Directory:
http://www.colorado.edu/facultyaffairs/atoz/
/hiring_ltr_templ.rtf

"The following are additional terms and conditions applicable to your appointment. By State law or University policy, these terms must be included in this letter of offer.

State law specifically requires that you be an employee-at-will in your position and that the following paragraph be included verbatim in this letter of offer:

Your employment contract is subject to termination by either party to such contract at any time during its term, and you shall be deemed to be an employee-at-will. No compensation, whether as a buy-out of the remaining term of contract, as liquidated damages, or as any other form of

remuneration, shall be owed or may be paid to you upon or after termination of such contract except for compensation that was earned prior to the date of termination."

Definition of Full-time: Lecturer and instructor rank faculty have responsibilities, privileges, and benefits defined in part by whether their appointments are to positions which are considered less than 50% full-time, or 50-100% full-time. The percent time of the appointment (% full-time) is based on the college- or school-specific definition of 100% full-time effort, which typically includes three to five 3-credit courses per semester. In larger colleges, full-time expectations may be defined on a discipline-specific basis.

I. LECTURER, LECTURER ADJUNCT

1. DEFINITION: Lecturers are hired on a semester-to-semester basis, and are not regular faculty appointments. An advanced degree in an appropriate discipline is normally required for appointment to this rank. Appointment may range from less than 50% to full-time. The role of lecturers is extremely important to the University's ability to offer special programs and classes according to the fluctuations of demand and funding from semester to semester.

2. Appointment and reappointment: Appointment as a Lecturer or a Lecturer Adjunct is an at-will appointment, and is subject to the limitations and restrictions defined by Colorado Statute and by the University's "at-will" policy. Campus administration urges that departments show due consideration for lecturers by providing early notification of possible extensions of their appointment, and that units keep the principle of continuity of employment in mind when making teaching assignments. The establishment of a hiring committee is recommended but not required for this faculty title.

3. SALARY: A pay scale within the primary unit shall be established defined on a per course or per credit hour basis, taking into consideration experience and the nature of the assignment.

4. BENEFITS: Lecturers: University of Colorado at Boulder provides to Lecturers the same health care benefit options available to other faculty ranks once a person teaches for a semester at 50% or more time. Benefits are not provided to individuals whose appointment is or falls below 50% full-time, however, any accrued sick or vacation time benefit will be retained by those employees whose appointments drop below 50% time. A Lecturer is not eligible for retirement benefits. Hiring authorities or candidates should direct questions regarding benefits to the Faculty Benefit Office at 303-492-8066. Lecturers with simultaneous appointments in two or more units will be eligible for benefits if the sum of their appointments is equivalent to 50% time as defined by the unit of their earliest dated, active appointment. In such cases, the obligation for notifying in writing all units of appointments which sum to 50% or greater rests with the employee. Costs of benefits will be borne by each unit on a proportional basis.

Lecturer Adjunct: As is the case for all faculty adjunct positions, Lecturers Adjunct are not eligible for University health or retirement benefits regardless of the percent time of their appointment.

Lecturers and Lecturer Adjuncts are eligible for parking, bookstore, recreation center, library, and University ID privileges as is consistent with specific campus policies.

Sufficient instructional support, including access to supplies, staff support, and office space for meeting students, shall be provided.

Lecturers and Lecturers Adjunct shall be eligible for most teaching awards.

5. EVALUATION: Units may evaluate the performance of Lecturers in a number of ways, including Faculty Course Questionnaires, class visits, and/or the Faculty Report of Professional Activities. A written statement of policy should be provided from the beginning of employment.

II. INSTRUCTOR

1. DEFINITION: The title of Instructor is a non-tenure track faculty rank position. Instructors normally hold a terminal degree appropriate for the discipline. Appointment may range from less than 50% to full-time. Instructors usually teach undergraduate courses, and may have advising responsibilities and some limited administrative responsibilities in addition. Application to the Graduate School for graduate faculty status is required in order for instructors to teach at the graduate level, including service on graduate committees.

2. Appointment and reappointment: Appointment as an Instructor is an at-will appointment, and is subject to the limitations and restrictions defined by Colorado Statute and by the University's "at-will" policy. A letter of initial appointment which defines the salary and terms of employment will generally be written for a period of one or two years. Letters of reappointment may be written for periods of up to four years. Comprehensive reviews associated with reappointment are required at least once every four years. Workload weighting for purposes of annual merit evaluation will be defined in the letter of appointment or reappointment. In academic units with majors and a full complement of academic programs, this workload weighting for teaching is typically 75-100% teaching, with the remaining percentage workload composed of service, or research, or some combination of the two. The percent time of the appointment (% full-time) will be based on the college- or school-specific definition of 100% full-time effort. In larger colleges, full-time expectations may be defined on a discipline-specific basis.

3. SALARY: Each college and school shall establish a starting salary range for 100% full-time instructors within their unit. In larger colleges, starting salaries may be discipline specific. Instructors on less than 100% time appointments shall be paid proportionately. Instructors shall be eligible for annual merit increases as part of the regular faculty merit assessment process.

4. BENEFITS: Instructors at 50% time or greater receive health and retirement benefits consistent with those offered to tenure-track faculty. Health benefits are not extended to those instructors whose appointments are initially or which fall below 50% full-time.

Instructors are eligible for most faculty teaching and service awards and may apply for most faculty development fund programs offered to the general tenure-track faculty, such as travel or research/creative work awards. Instructors also are eligible for parking, bookstore, recreation center, library, and University ID privileges as is consistent with specific campus policies.

Sufficient support for the instructional responsibilities of Instructors will be provided, including Library privileges, reasonable use of office staff support, and space for meeting with students.

Instructors are encouraged to participate in faculty governance to the full extent permitted by department or primary unit bylaws.

5. EVALUATION: Evaluation for annual merit will be based upon the defined workload weighting defined at the time of appointment, unless it is subsequently modified in writing. The criteria used for annual evaluation must be available in writing to all faculty. Annual merit evaluations and comprehensive reappointment evaluations will follow the same procedures as that for the tenure-track faculty as modified to account for the workload weighting.

6. PROMOTION: Instructors will normally be considered for promotion to Senior Instructor after a period of seven years of continuous appointment at greater than 50% time. Up to three years credit towards promotion, based on previous academic service, may be awarded at the time of initial appointment. Promotion after seven years is not mandatory, nor is it a right. The criteria used to evaluate an instructor for promotion to senior instructor will the same criteria as used for annual merit evaluation. Instructors promoted to senior instructors will be expected to have achieved a level of accomplishment sufficient to be judged as demonstrating excellence in teaching, and meritorious or excellent levels of accomplishment in the other areas defined by the workload definition. Instructors promoted to Senior Instructor continue to be considered "at-will" employees as defined by Colorado Statute and University policy.

III. SENIOR INSTRUCTOR

1. DEFINITION: The title of Senior Instructor is a non-tenure track faculty rank position. Senior Instructors normally hold a terminal degree appropriate for the discipline. Appointment may range from less than 50% to full-time. Senior Instructors generally teach undergraduate courses, and may have advising responsibilities and some administrative responsibilities in addition.

2. Appointment and reappointment: Appointment as an Senior Instructor is an at-will appointment, and is subject to the limitations and restrictions defined by Colorado Statute and by the University's "at-will" policy. A letter of initial appointment which defines the salary and terms of employment will generally be written for a period of one or two years. Letters of reappointment may be written for periods of up to four years. Comprehensive reviews associated with reappointment are required at least once every four years. A positive comprehensive review decision will be based upon continued excellent performance in teaching, and meritorious performance in all other areas of the workload distribution. Successful reappointment does not alter the employee's "at-will" status A workload distribution which defines weightings for teaching, research/creative work, and service activities for purposes of annual merit evaluation will be defined in the letter of appointment or reappointment. The percent time of the appointment (% full-time) will be based on the college- or school-specific definition of 100% full-time effort, for instructors.

3. SALARY: Initial salaries for Senior Instructors will normally be greater than those earned by instructors in their initial appointments. The BFA Task Force recommends a minimum salary of 110% of instructor salary. Senior Instructors are eligible for yearly merit increases in salary.

4. BENEFITS: Benefits are the same as those of instructor-rank faculty, plus the following:

Senior instructors who have completed six years (twelve semesters) in rank (at 100% time appointment) as either an instructor promoted to senior instructor, or as a senior instructor will be eligible to apply for a differentiated workload for one semester. The differentiated workload will reduce the formal teaching responsibilities of the senior instructor to one 3-credit course (or its equivalent) for that semester. The purpose of this workload adjustment is to allow the senior instructor time to update their pedagogy, instructional skills, or to develop new curriculum or instructional technology activities into their teaching. The faculty member on differentiated workload is expected to remain on Campus and serving the Campus full-time as defined by the workload agreement. Faculty with appointments of less than 100% (but at least 50%) full-time shall be eligible for this benefit on a pro-rated basis. For example, a 50% senior instructor will be eligible to apply for a differentiated workload after 24 semesters. Application for a differentiated workload assignment is made to the unit chair or director and approved in writing by the dean.

Senior Instructors are eligible for Emeritus status upon retiring.

5. EVALUATION: Same as for Instructors (above).

Adopted as a guideline document following review at Dean's Council 3/9/99.

Faculty Development Policy and Supplemental Funding
Latest Version Established 07/01/2011

New Faculty Development (FD) Plan is intended to introduce more autonomy, flexibility and access to Faculty Development and Research Assistant (RA) Hourly budgets balances. Both RA and FD budgets will be combined in one fund, each tenure-track faculty member; clinical professor; legal writing and library instructor will have their own speed type

- While faculty will have two budget lines in their individual accounts, one budget pool for professional development and the other for student hourly usage, they will have discretion over how those funds are spent. One year they may choose to spend the entire budget on student hourly use, the next year on professional development.

- Only tenure and tenure-track faculty have been allocated research assistant hourly budget in their Faculty Development Accounts. Legal Writing and Clinical Professors will be eligible for research assistant budget of up to $2,000 per fiscal year by submitting a request to the Dean or the Associate Dean of Research. This $2,000 budget may be used to further research including conference travel.

- Legal Writing Instructors have been allocated additional budget for Teaching Assistants up to the amount of $1,500 per fiscal year that will be funded from the Instruction budget.

- All negative balances will roll forward in their entirety; $750 of positive balances will roll forward each year effective 07/01/2012. If a faculty member incurs a deficit exceeding 2,000 they should notify the Associate Dean of Research and the Budget Officer via email with a plan for resolving the deficit before accessing any future funds for the upcoming fiscal year.

- Rules guiding allowable expenditures for professional development will not change. Refer to document "Financial Support for Faculty Development."

- No signed forms are required to authorize spending of individual accounts as long as expenditures fall within guidelines described in document listed above.

- Supplemental Faculty Development program will be abolished.

- New Special Allocations budget will be established to fund categorical expense, such as, testifying before a government body, allowable categories may be expanded in the future. Student Engagement and Interdisciplinary expense will also be funded from Special Allocations budget at a rate of $100.00 per annum per all classes of faculty members. Additional budget of $100.00 per year will be available for official functions to meet with employers or alumni and also funded from the Special Allocations Speed Type, 11063754.

- Technology Purchase Policy will remain in effect.

- Student Engagement and Interdisciplinary funding is intended to support faculty in developing quality relationships in an informal setting with students and to support developing relationships with colleagues across campus and the larger business community to build an interdisciplinary work environment.

- Faculty Development budget will be prorated based on the percent of time worked. For example, if faculty member works a .50% FTE appointment they will be allocated 50% of a budget assigned to their employee group.

FINANCIAL SUPPORT FOR FACULTY DEVELOPMENT

Description	Faculty Development Funds (Individual Faculty Accounts)	Boulder Summer Conferences Funds (11078728)	Special Allocation Funds (11063754)
Purpose	To support research and scholarly activities, professional growth, and development by faculty.	To encourage faculty to sponsor scholarly conference at Colorado Law School.	Testifying or Public Service Presentation before a Government Body. Student Engagement, Interdisciplinary, Alumni or Employer meetings or functions.
Eligibility	Full-time regular faculty (9 month) with the following job titles: - Professor - Associate Professor - Senior Instructor - Instructor - Clinical Professor (Asst, Assoc & Full)	Full-time regular faculty (9 month) with the following job titles: - Professor - Associate Professor	Full-time regular faculty (9 month) with the following job titles: - Professor - Associate Professor - Instructor - Senior Instructor - Clinical Professor (Asst., Assoc. & Full)
Funding	$5,000/TT member annually $3,000/Clinical & Legal Writing $2,000/Library *Legal Writing and Clinical Professors will be eligible for research assistant & travel budget supporting their research of $2,000 per fiscal year by submitting request to Dean or Assoc. Dean of Research	Variable subject to approval by Associate Dean for Research	Cover 100% of travel expense related to public service speaking. $100.00 per annum per faculty member for all Student Engagement or Interdisciplinary meetings and $100.00 for Alumni or Employer official functions.
Examples of allowable expenditures	Professional membership dues and licensing fees; Research materials, and subscriptions; travel, registration, and related expenses for scholarly conferences or workshops or for research; Additional reprints of articles; Student hourly workers, Technology purchases that comply with the Faculty Technology Purchase Policy.	Mailings, speaker honoraria, printing costs, meals, and other conference-related expenses.	Travel Expense related to Testifying or Public Service Presentation before Congress. Official functions such as meals at restaurants, food supplies.
Year End Balances	Any negative balances will roll forward. $750 of positive balances will roll forward. Deficits exceeding $2,000 at fiscal yearend will require a written resolution plan.	Not Applicable	Not Applicable
Approval	Not necessary if used as above	Associate Dean for Research	Not necessary if travel or small section official function is included in approved category.
Processing	Faculty Assistants process requests.	Upon approval, faculty member will work with Faculty Assistants to organize conference.	Faculty Assistants process requests.

1) First 100 article reprints are funded from instructional account 100, reprints over 100, may be charged to FD account

Leeds School of Business

Non-Tenure-Track Faculty Report Template
University of Colorado
2018

Section A. Titles, Contracts, and Workloads

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. *What titles are in use for NTTF?*
   a. Instructor, Senior Instructor, Lecturer, various "Visiting" depending on rank at home institution, Visiting Scholars, Post-Doctoral Visitors, and Scholar-In-Residence

2. *Are policies and procedures in place for initiating and reviewing NTTF contracts? If so, please summarize them.*
   a. The Division Chair initiates the contract (with Leeds HR) and the Associate Dean reviews and approves the offer letter (for Instructor & Senior Instructor contracts less than 100%)

   b. In addition to the above, 100% contracts for Instructor and Senior Instructors are approved via CUOFFER (Faculty Affairs) before the final offer letter is printed and signed.
   c. The Division Chair initiates all 'lecturer' contracts (with Leeds HR) and the Associate Dean reviews and approves the offer letter. All hires are also approved by the Dean through a vetting process.

3. *Are workloads specified for each job title? If so, what are those workloads?*
   a. Instructor and Senior Instructor are 80% teaching / 20% service
   Lecturers are 100% teaching

Section B. Evaluation and Promotion

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. *What policies and procedures are in place to ensure systematic evaluation of NTTF? If so, please summarize them.*
   a. Faculty Affairs Office notice and Leeds Bylaws, approved by Leeds Faculty on December 18, 2017;
      i. Leeds Bylaws, Article III- Standards and Procedures for Faculty Reappointment, Promotion, Tenure and Pose-Tenure Review Decisions
      ii. Leeds Bylaws, Article IV- Standards and Procedures for Annual Faculty Evaluations, Career Planning, and Differentiated Workload

2. *How frequently are these evaluations conducted?*
   a. Annually, by end of April each year.

3. *Are there policies and procedures for promotion within and between appropriate title categories? If so, please summarize them.*
   a. Yes, for Instructor and above in the Leeds Bylaws, approved by Leeds Faculty on December 18, 2017;
      i. Leeds Bylaws, Article III- Standards and Procedures for Faculty Reappointment, Promotion, Tenure and Pose-Tenure Review Decisions

Section C.   Compensation and Benefits

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. *At what percentage of FTE are the NTTF holding various titles eligible for benefits?*

   (The 1999 NTTF Recommendations set the goal that "Each primary unit determines what a full-time workload is for its NTTF, and that 50% workload be understood to be half of that departmentally-determined full-time load.")

   a. All of Leeds NTTF with an appointment of 50% or greater are eligible for benefits.

2. *How are the policies and procedures related to compensation and benefits made readily accessible to NTTF, their supervisors, and relevant staff?*

   a. The information for Employee Services is on the Leeds Intranet site.

   b. It is also written in their offer letters to contact Employee Services with any compensation or benefits inquiries.

Section D.   Professional Development, Recognition, and Grievance

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. *What opportunities and types of support are available to NTTF for professional development?*

   a. Teaching & Learning Excellence Committee workshops
   b. Innovative Learning & Teaching Grants
   c. Attend conferences, seminars, and workshops, as appropriate

2. *How are NTTF recognized for excellent performance? For instance, are there any awards or other public expressions of appreciation for contributions to the University's mission?*

   a. Leeds awards the Frascona Teaching Excellence Award as the primary teaching award. It is most often awarded to an NTTF faculty member although TTF are also eligible. Awards are usually presented at the Leeds Recognition Ceremony. Also, they are posted on television screens throughout Koelbel building. A monetary amount is usually included with each award.

3. *Are there policies and procedures for addressing grievances by NTTF? If so, please summarize them.*

   a. Yes, Campus Policy, Leeds School Bylaws and Leeds School of Business Policy on Review of Non-Reappointment Recommendations for Instructor Rank Faculty Members. These last two are attached to this filing.

      In those attachments, see:

      i. Leeds Bylaws, Article III- Standards and Procedures for Faculty Reappointment, Promotion, Tenure and Post-Tenure Review Decisions

      ii. Leeds Bylaws Article IV- Standards and Procedures for Annual Faculty Evaluations, Career Planning, and Differentiated Workload

         1. Leeds School Grievance Procedure: Consistent with campus policy, all grievants must file all salary grievances for an academic year with the Leeds Dean (or designated Associate Dean) by September 15 of that year.

      iii. Leeds School of Business Policy on Review of Non-Reappointment Recommendations for Instructor Rank Faculty Members

University of Colorado **Boulder**

Leeds School of Business Bylaws

ARTICLE III

STANDARDS AND PROCEDURES FOR FACULTY REAPPOINTMENT, PROMOTION, TENURE AND POST-TENURE REVIEW DECISIONS

The Laws of the Regents (LOR) Article 5 and APS 1022 - Standards, Processes and Procedures for Comprehensive Review, Tenure, Post-Tenure Review and Promotion govern faculty reappointments, promotion, tenure, and post-tenure reviews. This article of the Leeds bylaws contains the Leeds School's more specific interpretation and implementation of University standards and procedures and recognizes subordination thereto.

A. **Standards for Faculty Evaluation**

A.1 **Criteria.** From LOR Article 5.B.5(B)(1), in making appointment, reappointment, tenure, and/or promotion recommendations, all primary units shall evaluate the performance of the unit's candidates in the areas of teaching, research or creative work, and in university service and public service.

A.2 **Purpose of evaluations.** See LOR Article 5.B.4(C) and LOR 5.B.6(B)(2).

B. **Appointment, Reappointment and Promotion of Non-Tenure Track Faculty (Instructors)**

When considering the teaching and service needs of a Leeds School division, a Leeds division chair may seek applications for instructor positions from qualified persons. Initial appointment at the level of senior instructor typically requires extensive experience at other educational institutions, or in industry, with demonstration of successful teaching experience. The term of the initial appointment for an instructor any rank shall not exceed three years. Faculty Affairs must approve all appointments. Standard contract length is three years. Other terms lengths require approval of Faculty Affairs.

Leeds division chairs review instructor performance and the division's instructional needs when considering instructor reappointments. An instructor's past performance (in the contracted area) and the division's current and future instructional needs are all relevant criteria in determining whether a single- or multiple-year reappointment, if any, is to be offered.

B.1 **Single-year reappointments**. A Leeds division chair, with the LSPAC's affirmation and the dean's consent, can make a single-year reappointment offer to instructors who have demonstrated acceptable performance in their contracted areas. Such reappointments require approval by the Vice Provost for Faculty Affairs.

B.2 **Multiple-year reappointments**. A Leeds division chair, with the LSPAC's affirmation and the dean's consent, can make a multiple-year reappointment offer to instructors who have demonstrated past excellence in their contracted area of instruction and are expected to accomplish the same during the reappointment horizon where the division has documented the need for the instructor's services during that horizon. For a multiple-year reappointment, instructor excellence must be documented by a review

conducted by the division's executive committee (or another division-appointed instructor review committee). Review for multiple-year reappointments follows the procedures described in Section D of this article.

B.3 **Promotion from instructor to senior instructor.** In considering a promotion from instructor to senior instructor, a Leeds division chair directs the division's executive committee (or another division-appointed instructor review committee) to conduct a comprehensive review of the instructor's performance. Typically, other things being equal (including area of expertise), employment at the rank of senior instructor is expected to result in greater recognition and longer appointment periods than employment at the rank of instructor and the possibility of expedited reappointment reviews every other review period (see Art. III D2 below). The standards for senior instructor require that the candidate have special abilities, usually in teaching. Promotion from instructor to senior instructor typically requires the cumulative equivalent of six years of full time employment at the instructor rank, with variation due to an instructor's qualifications when appointed in the Leeds School and teaching performance during previous Leeds appointments, if any.

B.4 **Review of reappointment and promotion decisions for instructors**. The LSPAC conducts the university-mandated review of the candidate's performance and the appointing division's projected instructional needs and makes a recommendation to the Leeds dean regarding reappointments for non-tenure track faculty. The timeline for instructor and senior instructor reviews and reappointments is set by the most recent contract signed by the instructor or senior instructor.

C. **Standards for Promotion and Tenure**

C.1 **General considerations for tenure and promotion from assistant to associate professor**

a) **Commitment.** The granting of tenure is a long-term commitment on the part of the University and is, typically, the most critical decision made regarding a faculty member. Such commitments are limited to persons who are judged most likely to contribute excellence to the Leeds School, and to the University, for their remaining time at the University of Colorado.

b) **Standards.** University tenure standards given in LOR <u>Article 5.B.4(B)</u> and <u>APS 1022 - Standards, Processes and Procedures for Comprehensive Review, Tenure, Post-Tenure Review and Promotion</u> state that tenure may be awarded only to faculty members with demonstrated meritorious performance in each of the three areas of teaching, research and service, and demonstrated excellence in either teaching or research.

c) **Future performance.** Implied in a recommendation for promotion to associate professor with tenure is a judgment that the candidate's performance will continue to meet the standards in LOR <u>Article 5.B.4(B)</u> and <u>APS 1022 - Standards, Processes and Procedures for Comprehensive Review, Tenure, Post-Tenure Review and Promotion</u> and has the potential to reach the criteria required of full

professors, as given in <u>APS 1022 - Standards, Processes and Procedures for Comprehensive Review, Tenure, Post-Tenure Review and Promotion</u>.

d) **Timing of tenure and promotion.** Normally tenure, if granted to a Leeds faculty member, should be accompanied by promotion from assistant professor to associate professor, except in instances when the faculty member was hired as an untenured associate professor.

e) **Comprehensive reappointment reviews.** <u>LOR 5.B.6(B)(1)</u> states the University policy regarding comprehensive reappointment reviews. Considerations for reappointment in the Leeds School are similar for those for promotion to associate professor, with reasonable adjustments for the length of service completed. A central, although not exclusive, consideration in a comprehensive reappointment review is whether the candidate is "making normal progress" (<u>CU-Boulder Faculty Affairs</u>) towards meeting or exceeding —by the end of the probationary period— the standards for tenure and promotion to associate professor.

C.2 General considerations for promotion from associate professor to professor

a) **Quality.** The candidate should be a recognized expert or scholar in a business discipline and have established an international reputation therein. Promotion from associate professor to professor recognizes more than an extension of a candidate's work as an associate professor. There should be clear indication that the candidate's previous promise has been realized.

b) **Standards.** <u>APS 1022 - Standards, Processes and Procedures for Comprehensive Review, Tenure, Post-Tenure Review and Promotion</u> gives the University standards for promotion to Professor:

Professors should have the terminal degree appropriate to their field or its equivalent, and (A) a record that, taken as a whole, is judged to be excellent; (B) a record of significant contribution to both graduate and undergraduate education, unless individual or departmental circumstances can be shown to require a stronger emphasis, or singular focus, on one or the other; and (C) a record, since receiving tenure and promotion to associate professor, that indicates substantial, significant, and continued growth, development, and accomplishment in teaching, research, scholarship or creative work, and service.

c) **Future performance.** Implied in a recommendation for promotion to professor is a judgment that the candidate's performance will continue to meet these University standards. Additionally, recommendation for promotion to professor in the Leeds School reflects the reasonable expectation that the candidate will continue to: (i) hold and enhance an existing (inter)national research reputation in a business discipline; (ii) pursue excellent curriculum and teaching contributions in the Leeds School; and (iii) render service that contributes to excellence in the professor's academic discipline, and to the interests of the Leeds School and the University of Colorado.

d) **Timing of promotion.** Promotion to professor may be considered when an associate professor believes he or she has met the University's and the Leeds School's standards for promotion to the rank of professor.

C.3 **Evaluation factors.** All decisions concerning the progress of a Leeds tenure-track faculty member involve an evaluation of whether that faculty member is developing a record of accomplishment that will ultimately lead to promotion to professor. The following provides guidelines on the types of evidence considered in evaluation.

a) **Research and scholarly work.** The Leeds School is committed to the University's goal to compete with the major U.S. research universities. Promotion and tenure decisions are based on international impact from key ideas and findings. Multiple indicators of research quality and impact are important in research evaluation. Examples of such indicators include:

- Quality and quantity of publications and works in progress. The prestige of the publication outlet is a significant indicator of quality but is not the only indicator
- Impact of the research as measured by indicators that include but are not limited to awards or citations
- External research funding is a positive indicator but is not a necessary factor due to the scarcity of outside funding for business-related research
- Supervision of the research of successful doctoral students
- External evaluation letters from leading scholars

b) **Teaching.** Undergraduate and graduate teaching are integral and important parts of the Leeds School faculty members' professional lives. Multiple indicators of teaching quality from peers, students, and others are considered in the evaluation process. The candidate's teaching qualifications, accomplishments, and improvements should be self-assessed and assessed by peers on a regular, continuing basis. Candidates are strongly encouraged to consult with the Faculty Teaching Excellence Program, for teaching improvement and in the development of the teaching portfolio.

c) **Service activities.** Promotion to professor in the Leeds School requires that the candidate demonstrate a willingness and ability to cooperate in, and contribute to, activities that significantly improve the programs of the Leeds School and the University. Evaluation will consider the quantity, quality and level (e.g. chair vs. member) of service contributions of Leeds School and University contributions. External international, national and regional service activities are also considered when a candidate is being recommended for promotion to professor.

D. **Administrative Procedures for Reappointment, Tenure and Promotion Actions**

D.1 **Initiation of personnel action(s).** The two general types of personnel actions are mandatory and voluntary actions.

a) **Mandatory actions** are initiated in accordance with University policies and as dictated in appointment letters. These include:

- Reappointment of non-tenure-track faculty in final year of contract
- Comprehensive reappointment reviews of untenured, tenure-track faculty in final year of initial contract; also known as mid-tenure or reappointment review. See LOR Article 5.B.6(B)(1).
- Promotion and/or tenure review of tenure-track faculty in final year of probationary period, a maximum of seven years. See LOR Article 5.B.4(D)(1).
- Post-tenure review of tenured faculty every five years. See LOR Article 5.B.6(B)(2) and APS 1022 - Standards, Processes and Procedures for Comprehensive Review, Tenure, Post-Tenure Review and Promotion. (Procedures are detailed in Section F of this article.)

b) **Voluntary actions** are initiated at a Leeds faculty member's discretion and include:

- Consideration for promotion to associate professor before the end of the probationary period;
- Consideration for granting of tenure in special circumstances (See LOR Article 5.B.4(D)(4);
- Consideration for promotion to professor.

c) **Identification of candidates**. The office of the Vice Provost for Faculty Affairs identifies candidates for mandatory review. In general, the Leeds dean will check the list of such candidates for completeness and identify Leeds candidates for personnel actions as soon as possible to facilitate a thorough and timely review. The usual timeline for mandatory and voluntary personnel actions is set by Faculty Affairs. In the absence of such a published policy the following deadlines prevail by default:

- Mandatory personnel actions (reappointments and tenure decisions) are identified by April 1 of the year preceding the decision.
- Voluntary personnel decisions (early promotion to associate professor and promotion to professor) are identified no later than September 15 of the academic year of the decision.

D.2 **Personnel action process.** Personnel evaluations and recommendations begin in the Leeds School. The Leeds School's internal evaluations involve the primary unit, its chair, Dean's advisory review by either the Leeds School Personnel Advisory Committee (LSPAC) or Leeds Executive Committee (LEC), and the Leeds dean, as described below. These bylaws consider the following personnel actions:

PA1   Reappointment review of instructor
PA2   Review for promotion to senior instructor
PA3   Reappointment review of senior instructor
PA4   Comprehensive review of untenured, tenure-track faculty
PA5   Review for promotion to associate professor with tenure
PA6   Review for promotion to professor
PA7   Post-tenure review (see section F)

For PA3, there may be a formal but expedited review after the first three-year appointment. The division chair will review the senior instructor file and may choose an "expedited" review, described below in point 5 and can recommend an appointment for an additional 3 year term without a PUEC or division vote. If the division chair sees the need for a full review, that review may be conducted following steps 1-5 below. In all cases after the first six years as a senior instructor, the faculty member will undergo a full formal review. If the senior instructor continues after the first six years as a senior instructor to be employed by the university, reviews will alternate between an expedited review process, as described above, and full reviews.

With the exception of this case of PA3 expedited review and PA7, the standard process for all personnel cases is described in steps 1-11 below:

1. The primary unit chair appoints a primary unit review committee (PUEC).

2. The PUEC assists the candidate in assembling his or her dossier, which for PA1-PA6 includes PUEC votes except for an expedited review in PA3 as noted in point 5 below. The PUEC provides a written recommendation to the primary unit, i.e., the PUEC report. For PA5 and PA6, the PUEC dossier also includes external evaluation letters.

3. The primary unit discusses the case and votes.

4. The primary unit chair reports the deliberations of the primary unit, the primary unit vote and provides an independent evaluation (except for PA6).

5. For PA1-PA3, the Leeds School Personnel Advisory Committee (LSPAC) reviews the case, votes, and makes a recommendation to the dean. For "expedited review" of PA3 reappointments, steps 1-4 above will be replaced by a letter from the division chair recommending reappointment.

6. For PA4-PA6, the LSPAC reviews the case, votes and provides a written recommendation to the dean. LSPAC may also independently solicit publicly available data to aid their deliberations.

7. The dean evaluates the case and provides a written recommendation to the provost.

8. In PA4, PA5, and PA6 cases, the Vice-Chancellors Advisory Committee (VCAC) reviews the dean's recommendation and the other advice in the dossier and makes a recommendation.

9. For PA1-PA3, negative recommendations by the LSPAC may be appealed, consistent with the "Leeds School of Business Policy on Review of Non-Reappointment Recommendations for Instructor Rank Faculty Members." The dean will ask the LEC to review the case and to provide a recommendation (excluding LEC members who have participated in earlier stages of review).

10. Consistent with APS #1022, Article XII, candidates will be given a hard copy of all evaluation documents described above, with the exception of confidential letters of recommendation.

11. Consistent with APS #1022, no faculty member can vote at more than one level – i.e., in his or her primary unit, LSPAC, or VCAC.

12. Campus has created a new honorific title of "Teaching Professor" for a subset of distinguished senior instructors. According to the CU the June 2017 revision of "Academic Affairs Guidelines for the Appointment, Evaluation, and Promotion of Lecturer and Instructor Rank Faculty"[1] "The title of Teaching Professor is a working title. A Teaching Professor will still hold the rank and position of Senior Instructor, which is a nontenure-track faculty position." There is a review process for receiving this honor, but the granting of the honor is not controlled by the Leeds School but by the university. The review process can be found in the link in footnote 1.

D.3   **Primary unit and primary unit chair.** The primary unit membership and the identity of the primary unit chair depend on the specific personnel action and are constrained by the university's definitions provided in APS 1022 - Standards, Processes and Procedures for Comprehensive Review, Tenure, Post-Tenure Review and Promotion.

The primary unit for personnel actions **PA1** and **PA2** consists of all tenure-track faculty and senior instructors in the Leeds division where the candidate is currently appointed plus those in the division where the candidate will be reappointed (if different) immediately following the personnel action. For **PA3,** the primary unit consists of all tenure-track faculty in the division.

The primary unit for personnel actions **PA4** and **PA5** consists of all tenured faculty members in the Leeds division where the candidate is currently appointed plus those in the division where the candidate will be appointed (if different) immediately following the personnel action. For **PA6** the primary unit consists of all tenured faculty members holding the rank of professor in the Leeds School.

The primary unit chair for **PA1** to **PA5** is the chair of the Leeds division where the candidate is currently appointed, if any; otherwise, the chair of the Leeds division where the candidate will be appointed following the personnel action. For **PA6** the primary unit chair is the Leeds faculty member holding rank of professor appointed by the Leeds dean to chair the committee of all Leeds faculty members holding rank of professor.

The minimum size of the primary unit for personnel actions PA1-PA6 is five members. Primary unit membership is "primary," meaning that all eligible faculty members will be members of the primary unit, except for the dean. A person serving on a dean's advisory committee (LEC, LSPAC) will vote in the primary unit only. In accord with APS

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[1] https://www.colorado.edu/facultyaffairs/sites/default/files/attached-files/lecturer_instructor_appointment_evaluation_promotion_guidelines_2017_revisions_remediated_091917.pdf

1022 any faculty member may only participate in one review, typically at the lowest level. If a primary unit, as defined above for personnel actions PA1 to PA5, comprises fewer than five members, then the Leeds dean, in consultation with the primary unit chair, will appoint additional eligible (as determined by section D.2 above) Leeds faculty members from other divisions to the primary unit. In the unlikely event that the minimum size requirement is not satisfied for PA6, the Leeds dean appoints full professors from other non-Leeds academic units within the Boulder campus.

If, for whatever reason, the faculty member under consideration for personnel actions PA1 to PA3 is not currently appointed to a Leeds division and will not be appointed to a Leeds division immediately following the personnel action, the Leeds dean appoints a primary unit comprising eligible faculty members from related division(s) or other units (e.g., Centers) with appropriate rank. The process proceeds as usual. The Leeds dean is free to appoint the primary unit for such personnel actions as a subset of the LEC so long as the LEC subset meets these criteria.

D.4   **Primary unit evaluation committee (PUEC)** comprises at least three Leeds faculty members who as an entity are judged by the primary unit's chair to have the requisite expertise to evaluate a candidate's credentials and performance. In PA1 and PA2 cases, the PUEC must include at least one tenure track faculty member and at least one senior instructor. For PA3 cases, the PUEC must include only tenure track faculty. The PUEC can include one Leeds faculty member from outside the candidate's primary unit.

For PA4 and PA5, tenured faculty members in the candidate's primary unit may serve on a PUEC, as well as one or more members of the tenured faculty from another Leeds School or CU-Boulder unit. For PA6, only full professors may serve on a PUEC.   A majority of the PUEC will be from the Leeds primary unit. The PUEC selects from among itself an individual to chair the PUEC. The chair of the primary unit cannot serve as a member of the PUEC. If, in the candidate's judgment, the appointed PUEC does not as an entity have the requisite expertise to evaluate the candidate's credentials and performance, an appeal may be made to the chair of the primary unit, and ultimately to the Leeds dean. If agreement cannot be reached, the Leeds dean determines the final composition of the PUEC, subject to the constraint that a majority of the PUEC is from the Leeds primary unit.

The PUEC reviews the candidate's dossier and prepares a written, interpretive evaluation of the candidate's teaching, research, and service performance consistent with University and Leeds School standards. The intended audience of this report is scholarly individuals not necessarily familiar with the candidate's academic field.

The version of the PUEC report intended to be submitted to the primary unit is disclosed to the candidate no later than one day after its completion and prior to its formal inclusion in the candidate's dossier. Upon disclosure, the candidate has five business days to submit informal or formal clarification and comments to be considered in a possible revision of the PUEC report prior to submission to the primary unit, unless the candidate chooses to waive the right to respond. (The candidate can add to his or her file at any point in the process.) Ultimately, the PUEC decides what alterations, if any, to make to the PUEC report it submits to the primary unit. The PUEC retains the right

to reconvene and revote if necessary. The PUEC chair reports the committee's final recommendation to the candidate and the primary unit chair as soon as feasible.

D.5   **Meeting and voting of the primary unit**. The PUEC chair notifies the primary unit chair that the dossier (including the PUEC report) is ready for full primary unit review. The PUEC chair also announces to the primary unit and the candidate the time and place scheduled for a meeting of the primary unit to discuss the case. The primary unit will have at least five business days to review the dossier before the scheduled meeting date. At that scheduled meeting involving only primary unit members and any PUEC member that is not a member of the primary unit, the PUEC presents the candidate's dossier including the PUEC report and respond to questions.

When a primary unit meeting results in a formal acceptance of the dossier for review and voting, the primary unit chair arranges for the distribution of a secret ballot by all primary unit members. The ballot elicits votes separately on each performance area relevant to the personnel action. In particular, for promotion to associate professor with tenure (PA5), the ballot will solicit separate votes on

   (i)   teaching
   (ii)   research
   (iii)   service
   (iv)   the personnel action at issue

with the only possible voting choices of "excellent", "meritorious" and "less than meritorious" for (i), (ii) and (iii) and "in favor of" and "opposed to" for (iv). No official votes of "abstain" are allowed. For personnel actions PA1-PA4 and PA6, only (iv) applies and no separate votes are solicited for (i), (ii) and (iii).

When a primary unit meeting convened for this purpose does not result in formal acceptance of the dossier for review and voting, the dossier is considered incomplete and is returned to the PUEC and the candidate (without any confidential external recommendation letters) for revision. Upon revision and disclosure to the candidate, the chair of the PUEC schedules an additional meeting of the primary unit to again consider formal acceptance of the revised dossier (including the PUEC report).

When primary unit members are absent (e.g., on sabbatical), the primary unit chair makes reasonable efforts to contact the members to participate in the primary unit meeting via a conference call and allow them to vote.

The primary unit chair is responsible for the distribution of the ballots, for communicating a deadline for returning the ballots and for reporting the results of the vote to the candidate and then the primary unit as soon as possible but no later than five business days after the vote deadline.

In the Leeds School, a two-thirds majority is typically required to achieve "sufficient favorability" in a personnel action. In reflection of this, for vote counts on the personnel action at issue (i.e. the vote cast on (iv) above), the only votes considered are those marked either "in favor of" or "opposed to" the personnel action. If two-thirds or more of the votes thereby considered are marked "in favor of", the primary unit vote on the

personnel action is officially summarized as "sufficiently favorable." If less than two-thirds of the votes thereby considered are marked "in favor of", the primary unit vote on the personnel action is categorized as "insufficiently favorable." The primary unit chair will report to the candidate and then to the primary unit all vote tallies on each voting choice given for items (i)-(iv). At the University level, however, a simple majority is considered a favorable vote. If a higher and lower level votes agree in simple majority, no response is required even if either vote falls short of the two-thirds majority required for a judgment of "sufficiently favorable."

Any reconciliation between votes on (i)-(iii) and (iv) is left to the primary unit chair's evaluation letter.

D.6   **Primary unit chair's evaluation.** The primary unit chair prepares a separate letter of evaluation of, and recommendation for, each personnel action, including a summary of the primary unit's discussions and actions leading to the formal vote. For PA6, the primary unit chair's letter does not include an independent evaluation and is limited to summarizing the primary unit's deliberations and the vote. The chair of the primary unit does not vote in PA1-PA5 cases, but the chair of the full professors committee is eligible to vote as a member of the primary unit of all Leeds School full professors. It is the primary unit chair's responsibility to record the primary unit's official summary of the vote on the personnel action ("sufficiently favorable" or "insufficiently favorable") with an accurate vote count on that specific issue. It is also the primary unit chair's responsibility, where feasible, to rationalize the entire vote (on all items) within University standards and terminology. In particular, the primary unit chair provides context taken from the discussions and the votes on items (i)-(iii) to help interpret the "up or down" vote on the personnel action.

The version of the primary unit chair's evaluation intended to be submitted to the dean's office and the dean's review committee is disclosed to the candidate and the primary unit no later than one day after its completion and prior to its formal inclusion in the candidate's dossier. Upon disclosure, the candidate has five business days to submit informal or formal clarification and comments to be considered in a possible revision of the primary unit chair's evaluation prior to submission to the dean's review committee. Ultimately, the primary unit chair decides what alterations, if any, to make to the primary unit chair's evaluation letter it submits to the dean's review committee. The primary unit chair and primary unit retain the right to reconvene the primary unit and revote if necessary. The primary unit chair reports his/her final recommendation to the candidate and the primary unit without unreasonable delay.

D.7 **Dean's review committee.** Consistent with the Laws of the Regents, the Leeds dean maintains a committee to review personnel actions. From <u>APS 1022 - Standards, Processes and Procedures for Comprehensive Review, Tenure, Post-Tenure Review and Promotion (p. 4)</u>:

> *The Dean's Advisory or Review Committee aids in the evaluation of recommendations forwarded by the Primary Unit Evaluation Committee. Where it is not possible for the review committee to consist of (Leeds School) faculty members other than those in the primary unit, the dean will form a review*

committee that will include faculty from other schools or colleges. The dean shall determine whether the committee will be elected or appointed.

The LSPAC is the dean's review committee for all cases. For PA6, members of the LSPAC are drawn from faculty outside of the Leeds School. From APS 1022 (p. 4)

No individual may participate in more than one stage of the review process. Participation includes being present for any discussion of the review or providing information or opinions to any individuals who will be discussing the candidate's application.

a) **Non-tenure-track PA cases.** The LSPAC serves as second level review for PA1-PA3 cases, meeting with the Senior Associate Dean to deliberate and vote. LSPAC members from the candidate's primary unit are excluded from discussion and voting. The recommendation of the LSPAC is communicated to the candidate within one day prior to the dean's final decision. The candidate has five business days to appeal the recommendation, as described in the "Leeds School of Business Policy on Review of Non-Reappointment Recommendations for Instructor Rank Faculty Members." The Leeds Executive Committee is the second-level review committee for appeals of an LSPAC recommendation. Only members of the LEC who have not participated in earlier levels of review participate in discussion of an appeal and voting on the disposition of the appeal.

b) **Tenure-track PA cases.** The senior associate dean and the LSPAC meet to discuss personnel action cases PA4-PA6. Members of the LSPAC serve as the Dean's review committee and vote only on the cases for which they have not voted as members of the primary unit, and the LSPAC member should vote in the primary unit rather than at a higher level of review.

The voting members of LSPAC should be allowed time to deliberate by themselves before casting their vote. The committee designates one of its voting members to be responsible for drafting a report that contains a summary of the deliberations and the vote.

The version of the report intended to be submitted to the dean is disclosed to the candidate and the primary unit chair no later than one day after its completion and prior to its formal inclusion in the candidate's dossier. Upon disclosure, the candidate has five business days to submit informal or formal clarification and comments to be considered in a possible revision of the LSPAC report prior to submission to the dean. Ultimately, the LSPAC decides what alterations, if any, to make to the report it submits to the dean. The LSPAC retains the right to reconvene and revote if necessary. The dean or the dean's designee reports LSPAC's final recommendation to the candidate and the primary unit chair as soon as feasible.

D.8 **Dean's evaluation.** The Leeds Dean does not provide a separate written evaluation of PA1-PA3 cases. For PA4-PA6 cases, upon review of the dossier and recommendations from the primary unit and the LSPAC, the Leeds Dean prepares an evaluation of and recommendation for each personnel action, explaining the sources of any disagreements with earlier reports, consistent with APS 1022 (p. 4):

Should either the Review Committee or the dean disagree with the recommendation of the primary unit, the dean shall communicate the nature of this disagreement with the head of the primary unit. The primary unit shall then reconsider its original recommendation and return its reconsidered judgment to the dean for the dean's *consideration and that of the review committee. The recommendation of the dean, the results of the votes of the primary unit and the review committee, and the comprehensive dossier on the candidate shall be forwarded together to the provost. Where differences of opinion between the primary unit, the review committee, and/or the dean have occurred and have not been resolved, each party in the disagreement shall submit a brief statement outlining the areas of disagreement and the reasons for its recommendation in that context.*

While preliminary drafts of (portions of) the dean's evaluation letter may or may not be vetted with the candidate, the version of the letter intended to be submitted to the provost is disclosed to the candidate, the LSPAC and the primary unit chair no later than one day after its completion and prior to its formal inclusion in the candidate's dossier. Upon disclosure, the candidate has five business days to submit informal or formal clarification and comments to be considered in a possible revision of the dean's evaluation letter prior to submission to the provost. Ultimately, the dean decides what alterations, if any, to make to the letter he or she submits to the provost. The dean reports his/her final recommendation to the candidate, LSPAC and the primary unit chair as soon as feasible.

D.9   **Hiring tenured faculty.** If the proposed appointment is for a tenured associate or full professor position at Leeds and the candidate is already tenured at that rank at his or her home institution, the university allows a simplified process for collecting external letters (see the *VCAC checklist for Appointments with tenure, p. 2)*

EXTERNAL LETTERS OF EVALUATION. Please include the external letters that the primary unit considered in reaching their conclusion that the candidate deserves an appointment with tenure at our institution. A minimum of three letters is required. The letters may be the recommendation letters submitted with the application for the position. For cases where the candidate does not hold tenure at their current institution, and/or appointment includes promotion to a higher rank, six external letters should be collected as a full review for tenure and promotion must be conducted.

We at the Leeds school do not follow that simplified process. In the case of hiring a full professor with tenure, the primary unit for granting tenure (see PA5 in Section D.3 of this article) will review the case and vote on the issue of granting tenure. Subsequently, in a separate vote, the primary unit for promotion to professor (see PA6 in Section D.3 of this article), with full knowledge of the tenure vote, will review the case and vote on the issue of appointment at the rank of professor. The process for PUEC report, primary unit vote, chair's letter, and Dean's Review Committee report to the Dean otherwise match the process for internal tenure and promotion decisions.

D.10 Appeal Procedures. All University-approved appeal procedures pertaining to faculty reappointment, tenure, and promotion decisions are applicable.

E. Preparation of the Reappointment, Promotion, or Tenure Dossier

The candidate has primary responsibility for the contents of the dossier, with the exceptions of external letters of evaluation and written reviews by the various review parties. The candidate is encouraged to work with the PUEC chair in completing the dossier. Any member of the primary unit may submit other relevant written material to the PUEC for inclusion in the dossier. Per LOR Article 5.B.5(B)(3), the candidate has the prerogative to include any materials the candidate feels are critical to the dossier:

> *Candidates are entitled to submit any material or information they believe will be helpful in their evaluation at any stage of the review process. Candidates are entitled to have access to all performance evaluation documents in their own files, excluding letters of recommendation solicited from outside the primary unit, which are to be treated as confidential.*

These materials may include additional evidence and challenges to reviews included in the dossier. Prior to submission to the dean, the dossier contains applicable items 3 to 14 in VCAC's Dossier Checklist for Reappointment, Promotion and Tenure. For PA1-PA3, only items 3-5, 7-8, 10 and 13 apply. For PA4, all items except 9 and 11 and 12 apply. All items apply for PA5 and PA6. After the dossier is submitted to the dean, items 1 and 2 are added for PA4-PA6 prior to the submission to the provost. Additional information related to the preparation of the dossier is found in the APS 1022 - Standards, Processes and Procedures for Comprehensive Review, Tenure, Post-Tenure Review and Promotion.

E.1 External case evaluation letters. The PUEC determines the list of recommended individuals from whom the primary unit chair, acting *ex officio*, formally solicits case evaluation letters. A minimum of six external evaluation letters shall be added to the candidate's dossier. Despite the University relaxing the rules for letters for candidates who were tenured and held the same rank at another institution, we at the Leeds School make no distinction between internal and external cases in the required number and independence of letter writers. According to Section VI of the APS 1022 - Standards, Processes and Procedures for Comprehensive Review, Tenure, Post-Tenure Review and Promotion (p 3):

> *The primary unit requests evaluations in writing by scholars from outside the University and from various locations who are qualified to judge the candidate, using a solicitation letter following the college-approved format. Such outside evaluations are mandatory in cases of recommendations for tenure and promotion. … Selection of external evaluators shall be undertaken by the primary unit; the candidate shall be given the opportunity to suggest possible evaluators and/or indicate specific scholars whom the candidate feels should be excluded from consideration. Primary unit bylaws will describe the process used in the primary unit for the selection of external evaluators. Care must be taken to exclude any evaluators whose evaluations may constitute a conflict of interest, such as a dissertation director. A minimum of three external letters shall be added*

to the file; however, campuses, schools/colleges/libraries may require a greater number of letters. All letters that are received must be included in the candidate's promotion or tenure dossier. These letters must be treated as confidential; they shall not be shared with the candidate. …Primary unit letters should include summaries of key comments by made by evaluators, with all identifiers removed to preserve the evaluator's confidentiality.

The VCAC checklist (p. 3) expands on the theme of avoiding conflict of interest.

External letters must be submitted from professional colleagues not affiliated with the University of Colorado. Letters from mentors and close collaborators are discouraged.

The process used to identify external evaluators is outlined in the Leeds School Guidelines for Preparing Promotion and Tenure Files. The PUEC report shall include a summary of the solicitation process, clearly specifying the number of letter that were solicited and the number that were received. External evaluation letters from evaluators suggested by the candidate must be identified.

If, for whatever reason, the primary unit chair or other faculty member solicits case evaluation remarks outside of the PUEC-determined list and formal solicitation process, the related evaluation remarks can only be added to the dossier in the same manner as other material is added by any primary unit member (through submission to the PUEC as mentioned in the preamble to this section). Additionally, case evaluation remarks solicited outside the formal solicitation process must be marked in the dossier as having been solicited by the named individual primary unit member or administrator acting as an individual. The Leeds School offers no confidentiality for case evaluation remarks solicited by primary unit members (or others) acting as individuals outside of the formal review solicitation and processes.

E.2   **Availability of the dossier**. The dossier forms a basis for deliberations at all levels of review. The candidate's dossier is physically available in the Leeds dean's office and electronically in the Leeds intranet for review by the PUEC, all Leeds School faculty of higher rank, the dean's review committee and the dean and senior associate dean. When applicable (PA5 and PA6), the Leeds dean's office will make available to the PUEC, primary unit and LSPAC all of the external case evaluation letters including identification of authors. For officially-solicited case evaluation letters, the Leeds dean's office will protect confidentiality as stipulated by University policy and governing law. In particular, officially-solicited external case evaluation letters are not available to the candidate in any form.

F. Post-Tenure Review (PTR)

On a five-year cycle after a faculty member has been awarded tenure, there is a university-imposed comprehensive performance evaluation that emphasizes performance-based measurements. The review may be a "Regular Review" or an "Extensive Review." See LOR Article 5.B.6(B)(2) and APS 1022 - Standards, Processes and Procedures for Comprehensive Review, Tenure, Post-Tenure Review and Promotion.

F.1   The post-tenure review committee (PTRC). Other than as indicted in item F.2 below, the primary unit for purposes of the PTR comprises a subset of faculty members who hold tenure in the Leeds School. The dean appoints three tenured faculty members to serve for one year as the PTRC. The members of the PTRC elect a chair and conduct a review and evaluation of the faculty member's teaching, research and service contributions over the previous five years in accordance with "XI. Post-Tenure Review" in <u>APS 1022 - Standards, Processes and Procedures for Comprehensive Review, Tenure, Post-Tenure Review and Promotion</u>.

F.2   Successful promotion to professor resets clock. Due to the extensive and comprehensive nature of a candidate's review for promotion to professor, the Leeds School considers a successful promotion to professor to coincide with a satisfactory post-tenure review (even if the candidate is in the middle of the five-year cycle). Accordingly, the successful candidate's next post-tenure review is rescheduled to the fifth year following the effective date of the promotion to professor. (For example, if the candidate's promotion to professor is effective in September 2013, the candidate's next post-tenure review is rescheduled to occur in the 2017-2018 academic year, and the Office of Faculty Affairs notifies the Leeds School every year of who is up for review.) At the time of successful promotion to professor, the primary unit chair, with input from the PUEC will complete the necessary paperwork for a satisfactory post-tenure review.

F.3   Appeals of the PTR evaluation. A faculty member who is not satisfied with the PTRC's evaluation may appeal to the Leeds School dean and the internal LSPAC. A written appeal must be filed with the Leeds School dean's office within five business days following the receipt of the PTRC report.

ARTICLE IV

STANDARDS AND PROCEDURES FOR ANNUAL FACULTY EVALUATIONS, CAREER PLANNING, AND DIFFERENTIATED WORKLOAD

A. Faculty Evaluations

A.1 Dimensions of Leeds faculty performance. Leeds faculty responsibilities are categorized into the three dimensions of teaching, research, and service. (See Article II for a more extensive description of faculty powers and responsibilities as given by the Laws of the Regents.) Consistent with CU-Boulder's Office of Faculty Affairs Annual Merit Assessment process, decisions including, but not limited to, annual salary adjustments and allocations to faculty development accounts are expected to have merit across these three dimensions as the prevailing factor. In accordance with LOR Article 5.B.6(A):

Annual merit performance evaluations for all faculty members shall be conducted by each campus. A peer evaluation process shall be used at all campuses except at the Health Sciences Center. A faculty member's performance shall be evaluated based upon performance standards developed by each academic unit and any written expectations agreed to between the faculty member and the unit. In annual merit evaluations the assigned workload shall be appropriately considered. Faculty governance service shall be included for consideration in annual merit evaluation as in other evaluation processes.

Accordingly, all Leeds faculty members are evaluated annually on all dimensions of responsibility for which they carry nonzero assigned workload. While evaluations are conducted annually, it is understood that faculty contributions occurring other than during the year of evaluation can be considered by evaluators, as described in the Leeds School of Business Annual Evaluation Policy.

Note that as stated in LOR Article 11.A.1(F), the tenure process is "separate and distinct" from the annual merit evaluation process:

Consistently "outstanding" or "exceeding expectations" annual merit performance ratings shall not form the sole basis for tenure, as the process leading to award of tenure is a summary evaluation of a faculty member's cumulative performance, a process that is separate and distinct from the annual merit performance evaluation.

A.2 Evaluation Process. For faculty members appointed to a Leeds School division, the first stage of formal evaluation occurs at the division level for all three dimensions of faculty responsibility. The relevant Leeds division chair, advised by an elected division executive committee, evaluates all division faculty members carrying multi-year appointments. The division chair is evaluated by the division executive committee. While the division executive committee members must be members of the division and carry multi-year appointments in the Leeds School, the division executive committee's size is determined at the division level by democratic divisional governance procedures.

All division executive committee deliberations and comments are advisory to the division chair. The division chair has the final responsibility for the formal division-level evaluation recommendations to the dean. As mandated by Faculty Affairs, two forms are used as part of the <u>annual merit assessment</u> and salary adjustment process:

The first of these forms is titled <u>Annual Merit Evaluation: Advice and Comments</u>. This form is a confidential working document, and is used by the division chair (in consultation with the division executive committee) to provide advice to each faculty member regarding their professional performance. In addition, this form provides a single composite rating reflecting the overall performance of that faculty member in the areas of teaching, research, and service. The second form is titled <u>Faculty Performance Rating</u>. This is a public document. This document summarizes the annual performance of the faculty member and provides an individual rating in each of the three workload areas. After completing these two forms for each division member, the division chair simultaneously forwards a copy of each division member's forms to the respective division member and to the Office of the Dean. A member of the division executive committee will do the same with the division chair's forms.

After the division-level recommendations have been forwarded to the dean or designated associate dean, faculty members may request a meeting with the dean or designated associate dean. This meeting shall include the faculty member's division chair. The Dean's Office informs the faculty and the division chairs of the timetable for scheduling these meetings.

After any requested meetings with the dean or designated associate dean have taken place, the Leeds dean determines the process by which the final merit points and comments are recorded and the evaluation documents are completed and signed. Thus, all inputs from divisional executive committees and other administrators are strictly advisory to the dean as the head of the Leeds School unit.

The dean's final assignment of annual merit scores and comments cannot be appealed formally by processes within the Leeds School. However, the dean or designated associated dean must report final merit numbers and comments back to the division chair who then must disclose them to the division executive committee.

In the absence of an appointment within a Leeds Division, the dean will directly determine the process by which the faculty member is annually evaluated. As the dean is the final authority on the annual merit evaluation and there is no obvious division-peer input to the process, any disputes must be settled directly with the dean or a designated associate dean. As with all annual merit evaluations, the Leeds dean's final annual merit scores and comments cannot be appealed formally by processes within the Leeds School.

The final Faculty Performance Rating is shared with the faculty member, who is asked to sign the form. The dean is responsible for determining a base salary adjustment recommendation (see Section C of this article) that is then entered onto this form once the magnitude of the compensation pool for the Leeds school is known. The dean reserves the right to involve other Leeds administrators (e.g., associate deans or

division chairs) in the determination of the salary adjustment recommendations. Each faculty member receives a completed copy of this form after the salary adjustment process has concluded.

In rare cases, a faculty member may perceive that the division chair cannot fairly evaluate his or her performance. In such cases, the faculty member should submit a written request to the Senior Associate Dean for Faculty and Research for an evaluation by an alternate supervisor, including specific reasons for the request. This request should precede the normal annual evaluation meeting of the division executive committee. The Senior Associate Dean and Dean will determine the merit of the request and, if granted, designate an alternative process to review the faculty member.

A.3   Professional conduct. Adherence to the values of professional conduct as described in the Laws of the Regents and the CU Faculty Handbook may be considered in annual merit evaluations when behaviors relate to one of the three dimensions of faculty responsibility.

B. Career Planning

B.1   Typical workload assignments and evaluation considerations

Campus policy on differentiated workloads dictates that, "In the aggregate, as a school/college or total campus, the interpretation of Regents' policy on faculty performance is that the faculty workload is approximately weighted 40% teaching, 40% research and scholarly effort, and 20% service." These statements pertain to the Leeds School in aggregate, but individual faculty members may have different assignments. Moreover, as described in the Leeds School of Business Policy on Faculty Differentiated Workloads, there is not a one to one mapping between weights used in annual faculty evaluations and the teaching load of a faculty member in a given academic year.

a)   **Non-tenure track faculty.** Full time non-tenure track faculty members typically carry a 21 credit-hour teaching load across the fall and spring semesters and consequently bear an 80% workload assignment in teaching and 20% in service. Deviations are made only by the Leeds dean.

Criteria for evaluation of teaching performance. Non-tenure-track faculty teaching performance assessments are based on multiple measures. One of these measures is the student feedback obtained from the faculty course questionnaires (FCQs). This feedback is interpreted in light of other indicators including the nature of the course taught, the class size, the average levels and distributions of the course and instructor FCQ ratings, the perceived workload rating and the distribution of assigned course grades. Faculty members are strongly encouraged to supplement FCQ data with additional measures of teaching performance. Such data can include course syllabi and assignments, class visitation reports developed as part of the divisional teaching evaluation process, information on supervision of independent studies, Undergraduate Research Opportunities Program participation, case development, publications related to business education pedagogy, etc. Teaching is also evaluated based on innovations and updates to the course that increase its effectiveness.

Criteria for service performance. Though the focus for non- tenure-track faculty is teaching, Leeds School service is expected, consistent with the typical 20% workload assignment to service. The quality of, and willingness to, render internal Leeds service is a consideration in evaluating non-tenure-track faculty.

b) **Untenured, tenure-track faculty.**   Under normal circumstances, untenured tenure-track faculty carry workload assignment weights of 40% for teaching, 50% for research, and 10% for service. Deviations from this workload are applied according to the faculty-approved "Leeds School Policy on Faculty Differentiated Workload."

Criteria for evaluation of teaching performance. Untenured tenure-track faculty members' teaching evaluations consider essentially the same inputs as those for non-tenure track faculty members. We also value evidence of the integration of academic research (including the faculty member's) into teaching and participation on doctoral dissertation committees.

Criteria for evaluation of research performance. Considerations in evaluating research are those provided below for tenured faculty. Quality expectations are the same. However, recognizing the time required to establish a research record, quantity expectations are adapted for non-tenured faculty members' earlier career stage.

Criteria for service performance. As the focus for untenured, tenure-track faculty is teaching and research, less Leeds School service is expected, consistent with the typical 10% workload assignment to service. Nonetheless, the quality of, and willingness to, render internal Leeds service is a consideration in evaluating non-tenured, tenure-track faculty. External service that aids in building an external reputation (e.g., reviewing for respected journals) is encouraged and considered in the evaluation process.

c) **Tenured faculty.** Typically, tenured faculty are expected to carry workload assignments of 40% for teaching, 40% for research, and 20% for service. Deviations from this workload are applied according to the faculty-approved "Leeds School Policy on Faculty Differentiated Workload."

Criteria for evaluation of teaching performance. Tenured faculty members' teaching evaluations consider essentially the same inputs as those for untenured tenure-track faculty members.

Criteria for evaluation of research performance. Evidence of research productivity as measured by high quality publications, work-in-progress, papers under review and research program potential, research impact including evidence of thought leadership in the discipline, citations, invited research seminars at respected universities, presentations at major research conferences, research mentoring of students and faculty, research contributions to professional societies, and contributions to the Leeds School intellectual environment. In evaluating the evidence, consideration is given to the applicant's career stage, the applicant's research area, the ability of the research to addresses relevant questions in core

business disciplines and areas of emphasis adopted by the Leeds School as a part of its strategic mission. (See Article I of these Bylaws.)

Criteria for service performance. Recognizing that necessary non-compensated service avoided by one faculty member must be performed by another, internal non-compensated service in the Leeds School is very important and cannot be avoided by engaging in extensive external service or internal compensated service. Non-compensated service contributions are evaluated in terms of the quantity and quality of service performance, and the availability and willingness to undertake the service. External service is valued particularly when it enhances the Leeds School's external research and teaching reputation.   Leeds-compensated and CU-compensated service is evaluated using the criteria of, and in a manner consistent with, the evaluation of administrative appointments like division chair and center director (by the dean or designated associate dean).

B.2   Differentiated workload assignments. In situations where the Leeds School can realize increased benefits from having a faculty member's workload assignment deviate from the normal levels given above, the faculty member may be allocated a differential workload assignment. LOR Article 5.B.3 sanctions differential workloads and LOR Article 4.A.2(C) places the Leeds dean in authority over "faculty assignments and workloads." The University's APS 1006 - Differentiated Annual Workload for Faculty calls for:

> *"…appropriate balance between the development and advancement needs of the individual faculty member, the program needs of the primary unit, and the University's commitment to teaching, research/creative work, leadership and service, and, where appropriate, clinical and professional practice."*

As the Leeds school is a "unit" in the University system, the Leeds dean maintains a differential workload policy to assist in exercise of the Leeds dean's prerogative and responsibility to assign faculty workloads. (See Faculty Affairs Differentiated Workload policy.) In the Leeds School this policy is outlined in "Leeds School Policy on Faculty Differentiated Workload."

B.3   Faculty support. Support for faculty activities is important in order to achieve both Leeds and individual faculty member's goals. Support for research and teaching activities includes but is not limited to faculty development accounts (FDA) and summer stipends. As stated in LOR Article 4.A.2(C), the dean has final authority over allocation of funds, faculty assignments and workload. Consequently, the dean determines the process by which faculty support decisions are made.

B.4   Administrative appointments for tenured faculty.   A faculty member on administrative appointment negotiates evaluation weights with the Leeds dean as part of the appointment. Division-level preliminary service evaluations reflect the division-level evaluation of service to the division and may or may not reflect an evaluation of administrative service, particularly when that service was rendered as an administrator answering to higher-level administrators.

C.   Application of Annual Evaluations and Ratings to Salary Adjustments

The Leeds dean is responsible for establishing the procedure whereby stipend adjustments reflect faculty contributions in the three domains of responsibility. It is expected that, consistent with <u>Board of Regents Policy 11.B.1</u>, merit is the "prevailing factor in in all recommended salary increases." Nonetheless, that same policy recognizes the possibility of "competitive (market) increments." Consequently, while some correlation between annual merit evaluations and annual stipend adjustments for the same year is expected, market and competition differences within the Leeds School can diminish the realized correlation.

D. Salary Equity Review Process

The salary equity review process and the grievance procedures are covered by the faculty-approved "Leeds School of Business Salary Equity Review Policy."

Leeds School of Business Policy on Review of Non-Reappointment Recommendations for Instructor Rank Faculty Members

Approved by the Leeds Executive Committee on March 18, 2011

Decisions to non-reappoint instructor-rank faculty members occur for a variety of reasons. Occasionally a non-reappointment decision is contested by an instructor. In order to provide a defined process for considering appeals associated with instructor rank non-reappointment, the Leeds Executive Committee (LEC) has voted to adopt a procedure for review of adverse instructor-rank reappointment decisions. These procedures take effect immediately and are described below.

1. The Office of the Dean will inform all instructors of their ability to appeal a non-reappointment decision to the School as part of the appointment process and employment orientation documentation. The School will also post this procedure to the School intranet so as to make the information generally available to the school community.

2. Reappointment review will follow the process described in Article III of the Leeds School of Business Bylaws. The outcome of this process is a LEC recommendation to the Dean.

3. Appeal of a LEC's non-reappointment recommendation may be made in writing by the faculty member to the Dean of the School within 5 days of written notification.

4. Grounds for grieving a recommendation to non-reappoint shall include:

    a. The recommendation was unfair (i.e., arbitrary, capricious, retaliatory, based on personal malice, and/or inconsistent with treatment accorded to the grievant's peers in similar circumstances.)

    b. Procedural errors of sufficient magnitude to affect the outcome

5. In the case of an appeal, the Dean will submit the reappointment dossier and all written materials to the Leeds Personnel Advisory Committee (LSPAC). The LSPAC will deliberate on the case and provide a written recommendation to the Dean.

6. The Dean will consider the recommendations of the LEC and the LSPAC, the arguments and body of evidence, and render a written decision regarding the appointment.

7. This procedure is not intended to restrict the rights of an instructor to pursue other campus- or University-level appeal processes to which they are entitled

University Libraries

Section A. Titles, Contracts, and Workloads

1. *What titles are in use for NTTF?*

   Instructors (3 yr appointments)
   Senior Instructors (3 yr appointments)
   Senior instructors pre-tenure (2 yr appointments)
   Lecturers
   Instructors Adjunct

2. *Are policies and procedures in place for initiating and reviewing NTTF contracts? If so, please summarize them.*

   Policies and procedures are in place for initiating and reviewing NTTF contracts.

   Instructors and senior instructors with three-year appointments are hired as a result of a national search and must hold a Master's degree from an American Library Association accredited program in library and information science (MLIS) or the equivalent. This is an at-will appointment. The letter of initial appointment defines the salary and terms of employment as well as the annual merit weights. Senior instructors undergo a formal review for reappointment before the end of their final year of appointment, preferably during the fall semester of that year. Notices to the employee and to first and second-level evaluators are sent by the Office of the Dean at the beginning of the fall semester of that year. The employee is requested to submit a current vita, updated FRPA, and a self-evaluation of the highlights of his/her professional career during the current appointment period. Faculty member may also submit examples of publications and letters from faculty members outside the Libraries. The first and second-level evaluators are requested to submit letters. All materials are submitted to the Office of the Dean. The Dean reviews the materials and completes the process.

   Senior instructors with two-year pre-tenure appointments are formally reviewed during the second year of their contracts. Notices to the employee, Tenure Committee, and first and second-level evaluators are sent by the Office of the Dean in the second semester of the person's first year of appointment. The employee is requested to submit to the Tenure Committee, via the Office of the Dean, a current vita and self statements on librarianship, scholarly activities, and services. The first and second-level evaluators are requested to write letters evaluating the person's librarianship/teaching. This review is based on acceptable competency in librarianship, acceptable progress in developing a research agenda, and evidence of the awareness of the necessity of professional service. The primary emphasis is on the evaluation of librarianship. The Tenure Committee's positive review and recommendation to the Dean usually results in the person's move to the tenure-track as assistant professor with a four-year reappointment.

   Lecturers and instructors adjunct with one-year renewable appointments—Formal review for renewal of contract is initiated by the first-level evaluator or head of department a few months before the end of the person's contract. Renewal is determined by the Deans . Review of annual evaluations is used in this process.

3. *Are workloads specified for each job title? If so, what are those workloads?*

Workloads are specified for each job title.
  All instructors and senior instructors—seventy percent librarianship/teaching, ten percent research and creative work, and twenty percent service.
  Lecturers and Instructors Adjunct—one hundred percent librarianship.
Adjustments to workloads may be made by the completion and formal approval of a differentiated workload agreement.

Section B. Evaluation and Promotion

1. *What policies and procedures are in place to ensure systematic evaluation of NTTF? If so, please summarize them.*

   The Libraries Faculty Personnel Committee oversees the annual evaluation process for Libraries Faculty. The Committee distributes the faculty evaluation packets annually to all Libraries faculty and provides instructions and advice on the process. The Committee conducts a comparative review of performance in the areas of research, scholarship and creative work, and service for all senior instructors and tenure-track/tenured faculty and provides a numerical rating and a summary of the achievements in each category for each person evaluated. This is a formal process that begins with the notification in December and is completed by May.

   Lecturers and instructors adjunct are evaluated annually by their supervisors. These evaluations are not reviewed by the Faculty Personnel Committee.

2. *How frequently are these evaluations conducted?*

   These evaluations are conducted annually.

3. *Are there policies and procedures for promotion within and between appropriate title categories? If so, please summarize them.*

   Policies and procedures are in place for the move to tenure track of senior instructors with two-year pre-tenure appointments. The process has been described in A. 2.

Section C. Compensation and Benefits

1. *At what percentage of FTE are the NTTF holding various titles eligible for benefits?*

   All are eligible for benefits at .5 FTE or fifty percent appointments.

2. *How are policies and procedures related to compensation and benefits made readily accessible to NTTF, their supervisors, and relevant staff?*

   Level of benefits is included in offer letters/contracts, and all new employees go through employee onboarding procedures. Links to such information are provided to them at the time of hire.

Section D. Professional Development, Recognition, and Grievance

1. *What opportunities and types of support are available to NTTF for professional development?*

   Instructors and senior instructors are given the same scholarly support allocation (currently $1500/FY) as TTF to use for conference attendance and other scholarly activities. Lecturers are granted $750/FY in scholarly support. Instructors Adjunct are not granted an allocation.
   All NTTF are eligible to request administrative funding from the Dean for additional scholarly support funds.

2. *How are NTTF recognized for excellent performance? For instance, are there any awards or other public expressions of appreciation for contributions to the University's mission.*

   The University Libraries publicly recognizes special contributions to the University's mission through e-mails sent to all Libraries personnel and by postings to the Libraries Web pages. Length of service awards are given annually, and non-tenure-track faculty are also eligible for the Ellsworth award that recognizes a member of the faculty for outstanding contributions to the Libraries, the University, and/or the library profession. The award may be given in recognition of accomplishments during the most recent year, during a career, or during a specified period of years.

3. *Are there policies and procedures for addressing grievances by NTTF? If so, please summarize them.*

   Utilizing procedures that are in conformity with current University grievance procedures, the University Libraries Appeals Committee facilitates the resolution of non-tenure related appeals regarding action of faculty committees or supervisors that have an impact on an individual faculty member's compensation, career, or privileges. Actions subject to request for formal appeals include annual evaluation of librarianship (can be challenged by faculty member or FPC), scores for research/scholarly work and service, non- reappointment (not connected to tenure-track), non-promotion to senior instructor, special salary adjustment, denial of faculty support, and denial of differentiated work load. Actions subject to the grievance process include legitimate problems, differences of opinion, or complaints that may arise in the relationship between faculty members and those in decision-making roles.

College of Music

Non-Tenure Track Faculty Report
University of Colorado Boulder
2018

The College of Music employs the general criteria and procedures for appointment, reappointment, promotion, tenure and periodic evaluation of non-tenured and tenured faculty as set forth in Article X of the Laws of the Regents.

SECTION A. Titles, Contracts, and Workloads

1. The College of Music uses the titles of Scholar-in-Residence, Artist-in-Residence, Instructor, Senior Instructor, and Lecturer for Non-Tenure-Track Faculty (NTTF). The Lecturer, Instructor, Senior Instructor, Scholar-in-Residence, and Artist-in-Residence titles are determined by the hiring department in consultation with the Dean. Considerations for determining the appropriate rank are the duties and responsibilities of the position, academic background, and career expertise in a specific area or discipline. Also included in the criteria for designating a title is the nature of music as an art and music performers and composers as artists that requires that College of Music faculty positions be based on the discipline (performance, scholarly pursuit such as musicology, composition, etc.) and on the experience and accomplishment of each individual. Lecturer appointments are typically semester-by-semester or from 1-3 years. Instructor, Senior Instructor, Scholar-in-Residence, and Artist-in-Residence faculty appointments are typically for 1-4 years, and individual contracts are reviewed in the final year of appointment during the reappointment process.

2. The College utilizes Faculty Affairs' offer letter templates for initiating NTTF contracts. A review of the NTTF contract or offer letter occurs in the final year of appointment at which time adjustments are made as necessary.

3. The percentage of appointment is made clear in each NTTF letter of appointment. Job responsibilities and expectations are also made clear, but some appointments will be less specific regarding the precise number of courses, hours of teaching, advising, etc., than others. The standard workload for a full-time Instructor is 80% Teaching and 20% Service.

SECTION B. Evaluation and Promotion

1. All Instructor, Senior Instructor, Scholar-in-Residence, and Artist-in-Residence faculty undergo an annual evaluation. NTTF Instructors and Senior Instructors are required to submit an annual Faculty Report on Professional Activity (FRPA) that is reviewed by the Department Chairs and the Dean. An evaluative commentary on the areas of Teaching, Professional Activities, and Service is provided by the Dean. This evaluation process and the rating are used as the basis for salary merit increase recommendations.

2. The evaluations are completed annually during the spring semester.

3. The policies and procedures for promotion within and between appropriate title categories are as follows (taken from the College of Music Faculty handbook): Instructors and Senior Instructors can be promoted to Assistant Professor, tenure track, only under one of the following two conditions:

   a. Instructor applies for and is offered the position in the course of a national search for Assistant Professor, tenure track.

   b. In exceptional circumstances, the faculty Chair of the appropriate discipline, with the approval of his/her faculty, requests the promotion of the Instructor and a waiver of the national search. The Primary Unit votes on this request, and, if the vote is positive, the request is forwarded by the Dean of the College to the Vice Chancellor for Academic Affairs.

   All faculty appointed to the rank of Instructor after a national search for at least an Assistant Professor, tenure track, shall have the terms and conditions of promotion to Assistant Professor, tenure track, clearly stated in the letter of appointment with the express approval of the search committee.

SECTION C. Compensation and Benefits

1. All instructor, Senior Instructor, Scholar-in-Residence, and Artist-in-Residence positions are 50% FTE or greater, making them all benefits-eligible.

2. Policies and Procedures related to compensation and benefits are made readily accessible to non-tenure track faculty, their supervisors, and relevant staff through orientation meetings, Payroll and Benefits information distributed by Payroll & Benefits and/or HR, and by email from the Dean of the College disseminated annually to all faculty and staff, as well as notices posted to College faculty and staff informational bulletin boards.

SECTION D. Professional Development, Recognition, and Grievance

1. With the exception of Lecturers, full-time NTTF are provided opportunities for support to attend conferences, workshops, etc., and to engage in professional appearances, present their scholarly research, pedagogy, or performances. In this way, College travel budgets support faculty professional development activities. In addition, the NTTF's department receives an annual budget allocation for guest artists and lecturers, equipment, etc.; the use of those funds is at the discretion of the department members (including NTTF) and their Chair.

2. The NTTF are routinely recognized for special accomplishments, either through full faculty meeting announcements, emails to the College listserv, and at the

department level. NTTFs are also considered for all awards for which they are eligible.

3. The College of Music has a standing Faculty Salary Grievance Committee (appointed by the Dean) whose responsibility is to review and evaluate cases of salary grievance and make recommendations to the Dean, in accordance with campus policy. The Department Chairs, the Associate Deans, and the Dean of the College are also available to work with all faculty members, including NTTFs, with regard to any workplace issues and concerns.

University of Colorado
Denver | Anschutz Medical Campus

CU Denver | Anschutz Medical Campus

2018 Report on Non-Tenure-Track Faculty

Non-Tenure-Track Faculty Report
University of Colorado Denver
Spring 2018

Preface

The University of Colorado office of the Vice President for Academic Affairs has asked each of the campuses to respond biannually to a set of questions based on the 1999 Non-Tenure-Track Faculty (NTTF) Recommendations. Those original recommendations were endorsed by the Regents, each Faculty Assembly, the Faculty Council, and the President's Office. In 2010, the Faculty Council and the System Academic Affairs Office revised the questions for the biannual report. The two goals for the reporting process continued to be the improvement of conditions for NTTF at CU, and the advancement of NTTF contributions to the University's mission.

CU Denver Report

Introduction:

To prepare this report, each school, college, and library at CU Denver was asked to review their answers to the questions on the report template that they submitted for the Spring 2016 report and to send any updates, changes, etc. The exception to this request consisted of the three questions that were answered centrally: A1 [answered by the Office of Institutional Research and Policy Analysis (OIRPA)]; and A2 and C1 (answered by Human Resources).

Brief summaries of the answers sent by Deans, Associate Deans, and Directors are given below. In general, the responses obtained for this report are very similar to those obtained for the 2016 report. Three schools/colleges reported that there were no changes since 2016: The College of Liberal Arts and Sciences, the Business School, and the School of Dental Medicine. In those cases, their 2016 reports were inserted into the appendices. The complete reports submitted by OIRPA and by the schools/colleges/libraries are in the appendices, as follows:

- Appendix A: Non-Tenure-Track Faculty List for UC Denver (OIRPA)
- Appendix B: Architecture and Planning Report
- Appendix C: Arts and Media Report
- Appendix D: Auraria Library Report
- Appendix E: Business Report
- Appendix F: Dental Medicine Report
- Appendix G: Education and Human Development Report
- Appendix H: Engineering and Applied Science Report
- Appendix I: Health Sciences Library Report
- Appendix J: Liberal Arts and Sciences Report
- Appendix K: Medicine Report
- Appendix L: Nursing Report
- Appendix M: Pharmacy Report
- Appendix N: Public Affairs Report
- Appendix O: Public Health Report

<u>Section A.</u>   Titles, Contracts, and Workloads
Please answer the following questions for each of the schools, colleges, and libraries within your campus.
   1.   What titles are in use for NTTF?

          CU Denver's Office of Institutional Research and Policy Analysis (OIRPA) generated a list of all NTTF titles in use, by school/college/library, along with the Fall 2017 numbers of faculty members holding each title. The list is in Appendix A.

          In some of the school/college/library reports (Appendices B – O), lists of titles that they use are also provided.   A comparison of the 2018 school/college/library responses with their 2106 responses showed that many of them are now using more titles than they reported in 2106.

   2.   Are policies and procedures in place for initiating and reviewing NTTF contracts? If so, please summarize them.

          Human Resources answered this question:

              CU Denver policies and procedures for hiring faculty members make only minimal distinctions between tenure-track faculty and NTTF. All faculty letters of offer are initially reviewed in the Dean's office. Denver campus tenure-track positions are reviewed by the Provost. All appointments with tenure go through a rigorous review process (with final tenure approval given by the Regents). All faculty appointments are currently forwarded to Human Resources (bi-weekly or more frequently, and in the case of at-will NTTF lecturers, at the beginning of each semester), as needed, along with personnel matters reports for approval by the appropriate authority (i.e., the Provost approves Assistant Professor, Associate Professor and Professor actions; the Dean approves all other ranks). Human Resources staff members review the content of the letters and ensure that the approved searches or appointment types, the letters, the personnel matters reports and the entries to the human resources management system match.

          For additional information about the processes used in some of the schools/colleges/libraries, see the reports in Appendices B – O.

   3.   Are workloads specified for each job title? If so, what are those workloads?

          The answers to this question are in the school/college/library reports in Appendices B – O. On the Denver campus, workloads for Instructors, Senior Instructors, and Clinical Teaching Track faculty members are often specified as percentages of time devoted to teaching, research/creative activities, and service; lecturers' workloads are usually specified in terms of the limits on the number of credit hours that they can teach each semester.   The workloads for faculty members at the Anschutz Medical Campus (AMC) tend to be negotiated

individually, depending on the needs of the sponsoring grant, clinical area, or department.

A few years ago, the Denver campus developed general guidelines for the appointment of faculty members into the Clinical Teaching Track title series. The schools/colleges/departments have been developing primary-unit level criteria for the ranks within the Clinical Teaching Track series, and many primary units now have approved criteria in place. The AMC schools/college with CTT faculty members have written documents describing the criteria for ranks.

Section B.   Evaluation and Promotion

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1.   What policies and procedures are in place to ensure systematic evaluation of NTTF? If so, please summarize them.

The 2012 CU Denver policy statement, *Non-Tenure Track Faculty Performance Reviews* (http://www.ucdenver.edu/faculty_staff/employees/policies/Policies%20Library/OAA/NTTFPerfReview.pdf), which applies to both campuses, sets forth the requirements for performance reviews for all non-tenure-track faculty titles. According to the policy statement, *All schools, colleges and libraries are responsible for ensuring the periodic evaluation of their non-tenure-track faculty….At the Anschutz Medical Campus, schools, colleges and the library shall undertake a regular evaluation of non-tenure-track faculty, excluding those who are not significantly involved in the teaching program of the school and college and excluding those who are serving in a voluntary capacity….At the Denver Campus, college/school deans are responsible for ensuring that instructors, senior instructors, clinical teaching track and research faculty are evaluated annually, as part of the faculty compensation process….Lecturers and other non-tenure-track faculty should be reviewed annually and must be reviewed, at a minimum, once every third year of employment...based on their performance of assigned duties with the primary unit and the college, school, or library in accordance with a process defined by the primary unit and the college, school, or library.*

In addition to the other details specified in the aforementioned policy statement, specific answers to this question can be found in the reports in Appendices B – O.

2.   How frequently are these evaluations conducted?

The individual school/college/library reports (Appendices B – O) indicate that NTTF (except Lecturers) are evaluated annually. The evaluation of Lecturers varies, with most of the reports mentioning annual evaluations and some noting different schedules, such as every three years at a minimum (i.e., the College or Engineering and Applied Sciences and the School of Public Affairs) and at the beginning and end of each semester (i.e., the College of Arts & Media).

3.   Are there policies and procedures for promotion within and between appropriate title categories? If so, please summarize them.

      The reports submitted by the schools/colleges/libraries (Appendices B – O) vary in terms of how this question was answered, but all of them addressed one or more aspects of the promotion process.

Section C.   Compensation and Benefits

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1.   At what percentage of FTE are the NTTF holding various titles eligible for benefits? (The 1999 NTTF Recommendations set the goal that "Each primary unit determines what a full-time workload is for its NTTF, and that 50% workload be understood to be half of that departmentally-determined full-time load.")

      Human Resources provided a link to a system-wide document that gives information about eligibility for benefits, last updated on 5/31/17: https://www.cu.edu/employee-services/policies/benefit-eligibility-matrix.

2.   How are the policies and procedures related to compensation and benefits made readily accessible to NTTF, their supervisors, and relevant staff?

      The schools/colleges/libraries reported a variety of ways by which policies and procedures are made accessible to NTTF: in letters of offer; during new employee orientations; on the system, campus, or school/college/library   websites or intranets; and via administrative offices in the schools/colleges/libraries.   See Appendices B – O.

Section D.   Professional Development, Recognition, and Grievance

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1.   What opportunities and types of support are available to NTTF for professional development?

      On the Denver campus, the Center for Faculty Development (CFD) provides various opportunities and supports for all faculty members, including NTTF. In 2016-2017 academic year, 172 unique NTTF (20% of all NTTF) participated in CFD events. These services include:

- *Professional teaching consultations, observations, and mentoring*. The CFD staff conducts class observations and meets individually with faculty members to discuss aspects of teaching, such as designing courses, enhancing classroom techniques, developing course materials, and documenting teaching effectiveness. In 2016-2017 academic year, more than half (52 percent) of the CFD's consultations and observations were carried out for NTTF. In that year the CFD conducted 41 teaching observations or consultations for NTTF.

- *Book Clubs (Books@Work).* The CFD hosts 10 book club groups a year. The focus of this activity is building knowledge and community around our shared work as educators. In 2016-2017, over half of the participants (78) in B@W groups were NTTF faculty.
- *Faculty mentoring program.* In 2017 the CFD expanded the faculty mentoring program to include mentoring for NTTF. Approximately 21% of our mentees are NTTF.
- *Repository of current resources.* The CFD maintains a library of teaching and learning resources and circulates print publications and electronic resources on a wide range of topics related to teaching, assessment, scholarship and creative activities.
- *"Lunch and Learn" professional development series.* These informal trainings provide faculty the opportunity to meet and network with colleagues across campus and learn about resources to support and enhance teaching, research funding and creative activities. Sessions are designed to meet the interests and needs of NTTF.
- *Grant opportunities.* All full-time faculty members, including NTTF, are eligible to apply for the Faculty Development Grants, an annual competition. The grants of up to $3,000 are intended to enhance the quality of teaching. The CFD has also created a new category of teaching enhancement grants for part-time faculty. Our Lecturer's Teaching Enhancement Grants provide up to $500 for Lecturers to use toward improving or enhancing their teaching.
- *Online New Faculty Orientation.* All faculty members on the Denver campus are required to attend New Faculty Orientation. The CFD developed an online version of the orientation so that NTTF can meet this requirement and receive the benefits of the information presented at in-person orientation. The online orientation includes three courses: "The CU: New Faculty Orientation;" "CU Assessment and Instructional Alignment;" and "CU American with Disabilities."

CU Online also offers workshops and training sessions throughout the year. Some of these are co-sponsored by the CFD and others are stand-alone. CU Online opportunities are great resources for faculty interested in or already engaged in online teaching.

As can be seen in the reports in Appendices B – O, a variety of supports and opportunities are made available within the schools, colleges, and libraries. Examples include: financial support for attendance at professional conferences; mentoring; professional development funds for training and continuing education activities; invitations to attend school/college/department orientations, faculty meetings, workshops, seminars, etc.; and information and advice sent via newsletters or posted online.

2.   How are NTTF recognized for excellent performance? For instance, are there any awards or other public expressions of appreciation for contributions to the University's mission?

On the Denver campus, there is an annual "Excellence in Teaching Award" for NTTF; Lecturers, Instructors, Senior Instructors, and Clinical Teaching Track faculty members are eligible to be nominated for the award. NTTF with at least a .50 appointment and three years of service on the Denver campus are also eligible to receive the annual "Excellence in Service Award." Schools and colleges nominate one faculty member for the teaching and service awards (except for CLAS, which nominates three faculty members for each award) and the Auraria Library nominates a faculty member for the service award. Faculty committees, comprised of the nominees and winners of the respective award from the past two years, select the overall campus-level winners. An "Excellence in Librarianship Award" is available to one faculty member in the Auraria Library; the library's faculty members have developed the criteria and procedures for selecting the recipient of this award. All nominees and campus-level winners receive certificates and stipends; the campus-level winners are recognized at the May and December Commencements and by individual plaques added to the Faculty Awards Gallery in the North Classroom Building. A "Celebration of Faculty Excellence" is held each September to recognize and honor all award recipients.

The "Provost's Award for Excellence in Practices Related to NTTF" was instituted on the Denver campus in 2010. This award is given to an academic unit that has demonstrated a high level of meaningful involvement of NTTF, as well as excellence in the level of impact or contribution the NTTF involvement has had on fulfilling the mission of the unit. The recipient receives a monetary reward (intended to support further advancement of best practices, such as promoting the improvement of NTTF teaching, enhancing NTTF professional development, or stimulating NTTF engagement with the university community) and is recognized at the May and December Commencements and with a plaque in the Faculty Awards Gallery.

At AMC, there are two campus-level teaching awards given annually to faculty members in each school and college; the award winners are selected by the students in the respective schools and colleges. The "President's Excellence in Teaching Award" winners are chosen by the senior classes in the schools/colleges of Dental Medicine, Medicine, Nursing, Pharmacy, and Public Health. This award recognizes the faculty member's outstanding, innovative, and inspirational contributions to the students' professional development. The "Chancellor's Teaching Recognition Award" rewards outstanding teaching; nominees are identified by school/college student governance groups and winners are selected by committees comprised of students, faculty members, and administrators. The award is given to one faculty member in each school of Dental Medicine, Medicine, Pharmacy, and Public Health; and one faculty member in the College of Nursing and one in the Graduate School. All faculty members are eligible for both the "President's Excellence in Teaching Award" and the "Chancellor's Teaching Recognition Award." Recipients are given cash awards and plaques, and they are recognized during the Commencement ceremonies.

The reports in Appendices B – O include information about some additional awards and expressions of appreciation for NTTF within the schools, colleges, and libraries.

3.   Are there policies and procedures for addressing grievances by NTTF? If so, please summarize them.

The school/college/library reports (Appendices B – O) describe grievance procedures available to NTTF. Generally, NTTF have access to the same grievance procedures as tenured and tenure-track faculty members.

Appendices

- Appendix A: Non-Tenure-Track Faculty List for UC Denver
- Appendix B: Architecture and Planning Report
- Appendix C: Arts and Media Report
- Appendix D: Auraria Library Report
- Appendix E: Business Report
- Appendix F: Dental Medicine Report
- Appendix G: Education and Human Development Report
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Appendix A: Non-Tenure-Track Faculty List for UC Denver

Non-Tenure-Track Faculty List for the University of Colorado Denver
Non-Tenure Track Faculty
By College by Job Code
IPEDS Reportable
Fall 2017 *

School/College	Job Code	Job Description **	Total NTTF Appointments
AMC Library	1102	ASSOCIATE PROFESSOR	2
AMC Library	1103	ASST PROFESSOR	7
AMC Library	1104	SENIOR INSTRUCTOR	4
AMC Library	1105	INSTRUCTOR	2
Architecture & Planning	1104	SENIOR INSTRUCTOR	2
Architecture & Planning	1105	INSTRUCTOR	2
Architecture & Planning	1212	CLINICAL ASSOC PROFESSOR (C/T)	1
Architecture & Planning	1309	SR PROFESSIONAL RESEARCH ASST	3
Architecture & Planning	1310	PROFESSIONAL RESEARCH ASST	1
Architecture & Planning	1409	PROFESSOR ADJUNCT	1
Architecture & Planning	1410	ASSOC PROFESSOR ADJUNCT	1
Architecture & Planning	1411	ASST PROFESSOR ADJUNCT	2
Architecture & Planning	1419	LECTURER	55
Architecture & Planning	1440	VISITING FELLOW	1
Architecture & Planning	1213C	CLINICAL ASST PROFESSOR - 9MO	7
Architecture & Planning	1302C	ASSOC PROFESSOR-RESEARCH9MONTH	1
Arts & Media	1104	SENIOR INSTRUCTOR	4
Arts & Media	1105	INSTRUCTOR	16
Arts & Media	1213	CLINICAL ASST PROFESSOR (C/T)	5
Arts & Media	1310	PROFESSIONAL RESEARCH ASST	1
Arts & Media	1419	LECTURER	45
Arts & Media	1442	SCHOLAR IN RESIDENCE	1
Auraria Library	1102	ASSOCIATE PROFESSOR	2
Auraria Library	1103	ASST PROFESSOR	1
Auraria Library	1104	SENIOR INSTRUCTOR	11
Auraria Library	1105	INSTRUCTOR	6
Business	1104	SENIOR INSTRUCTOR	8
Business	1105	INSTRUCTOR	15
Business	1419	LECTURER	97
Dental Medicine	1105	INSTRUCTOR	2
Dental Medicine	1211	CLINICAL PROFESSOR (C/T)	6
Dental Medicine	1212	CLINICAL ASSOC PROFESSOR (C/T)	27
Dental Medicine	1213	CLINICAL ASST PROFESSOR (C/T)	35
Dental Medicine	1215	CLINICAL INSTRUCTOR (C/T)	14

Dental Medicine	1302	ASSOC PROFESSOR-RESEARCH	1
Dental Medicine	1303	ASST PROFESSOR-RESEARCH	1
Dental Medicine	1306	RESEARCH ASSOCIATE	4
Dental Medicine	1309	SR PROFESSIONAL RESEARCH ASST	4
Dental Medicine	1310	PROFESSIONAL RESEARCH ASST	12
Dental Medicine	1419	LECTURER	1
Dental Medicine	1438	POST-DOCTORAL FELLOW	5
Dental Medicine	1439	FACULTY FELLOW	1
Education	1104	SENIOR INSTRUCTOR	19
Education	1105	INSTRUCTOR	11
Education	1212	CLINICAL ASSOC PROFESSOR (C/T)	5
Education	1213	CLINICAL ASST PROFESSOR (C/T)	7
Education	1301	PROFESSOR-RESEARCH	1
Education	1303	ASST PROFESSOR-RESEARCH	1
Education	1306	RESEARCH ASSOCIATE	2
Education	1309	SR PROFESSIONAL RESEARCH ASST	3
Education	1310	PROFESSIONAL RESEARCH ASST	6
Education	1419	LECTURER	155
Engineering	1104	SENIOR INSTRUCTOR	2
Engineering	1105	INSTRUCTOR	2
Engineering	1212	CLINICAL ASSOC PROFESSOR (C/T)	4
Engineering	1213	CLINICAL ASST PROFESSOR (C/T)	4
Engineering	1214	CLINICAL SENIOR INSTRCTR (C/T)	1
Engineering	1301	PROFESSOR-RESEARCH	1
Engineering	1302	ASSOC PROFESSOR-RESEARCH	1
Engineering	1303	ASST PROFESSOR-RESEARCH	4
Engineering	1304	RESEARCH INSTRUCTOR	8
Engineering	1305	SR RESEARCH ASSOCIATE	1
Engineering	1308	VISITING RESEARCH ASSOCIATE	1
Engineering	1309	SR PROFESSIONAL RESEARCH ASST	2
Engineering	1310	PROFESSIONAL RESEARCH ASST	4
Engineering	1311	RESEARCH SENIOR INSTRUCTOR	4
Engineering	1401	VISITING PROFESSOR	1
Engineering	1413	INSTRUCTOR ADJUNCT	1
Engineering	1419	LECTURER	25
Engineering	1438	POST-DOCTORAL FELLOW	11
Liberal Arts	1104	SENIOR INSTRUCTOR	27
Liberal Arts	1105	INSTRUCTOR	62
Liberal Arts	1212	CLINICAL ASSOC PROFESSOR (C/T)	9
Liberal Arts	1213	CLINICAL ASST PROFESSOR (C/T)	2
Liberal Arts	1303	ASST PROFESSOR-RESEARCH	1
Liberal Arts	1308	VISITING RESEARCH ASSOCIATE	1
Liberal Arts	1309	SR PROFESSIONAL RESEARCH ASST	3
Liberal Arts	1310	PROFESSIONAL RESEARCH ASST	8
Liberal Arts	1401	VISITING PROFESSOR	1
Liberal Arts	1403	VISITING ASST PROFESSOR	1
Liberal Arts	1411	ASST PROFESSOR ADJUNCT	1
Liberal Arts	1419	LECTURER	169

Liberal Arts	1438	POST-DOCTORAL FELLOW	2
Liberal Arts	1212C	CLINICAL ASSOC PROFESSOR - 9MO	4
Liberal Arts	1213C	CLINICAL ASST PROFESSOR - 9MO	11
Liberal Arts	1301C	PROFESSOR-RESEARCH 9 MONTH	1
Liberal Arts	1302C	ASSOC PROFESSOR-RESEARCH9MONTH	1
Liberal Arts	1303C	ASST PROFESSOR-RESEARCH 9MONTH	3
Medicine	1104	SENIOR INSTRUCTOR	339
Medicine	1105	INSTRUCTOR	825
Medicine	1213	CLINICAL ASST PROFESSOR (C/T)	1
Medicine	1221	PROFESSOR - CLINICAL PRACTICE	13
Medicine	1222	ASSOC PROFESSOR CLINICAL PRACT	31
Medicine	1301	PROFESSOR-RESEARCH	7
Medicine	1302	ASSOC PROFESSOR-RESEARCH	15
Medicine	1303	ASST PROFESSOR-RESEARCH	57
Medicine	1304	RESEARCH INSTRUCTOR	53
Medicine	1305	SR RESEARCH ASSOCIATE	18
Medicine	1306	RESEARCH ASSOCIATE	80
Medicine	1308	VISITING RESEARCH ASSOCIATE	5
Medicine	1309	SR PROFESSIONAL RESEARCH ASST	323
Medicine	1310	PROFESSIONAL RESEARCH ASST	853
Medicine	1311	RESEARCH SENIOR INSTRUCTOR	5
Medicine	1403	VISITING ASST PROFESSOR	1
Medicine	1410	ASSOC PROFESSOR ADJUNCT	1
Medicine	1411	ASST PROFESSOR ADJUNCT	3
Medicine	1419	LECTURER	2
Medicine	1438	POST-DOCTORAL FELLOW	274
Medicine	1439	FACULTY FELLOW	73
Medicine	1440	VISITING FELLOW	2
No Academic Unit	1104	SENIOR INSTRUCTOR	1
No Academic Unit	1105	INSTRUCTOR	2
No Academic Unit	1213	CLINICAL ASST PROFESSOR (C/T)	3
No Academic Unit	1305	SR RESEARCH ASSOCIATE	4
No Academic Unit	1309	SR PROFESSIONAL RESEARCH ASST	9
No Academic Unit	1310	PROFESSIONAL RESEARCH ASST	11
No Academic Unit	1419	LECTURER	12
Nursing	1105	INSTRUCTOR	1
Nursing	1211	CLINICAL PROFESSOR (C/T)	4
Nursing	1212	CLINICAL ASSOC PROFESSOR (C/T)	11
Nursing	1213	CLINICAL ASST PROFESSOR (C/T)	20
Nursing	1214	CLINICAL SENIOR INSTRCTR (C/T)	7
Nursing	1215	CLINICAL INSTRUCTOR (C/T)	6
Nursing	1223	ASST PROFESSOR - CLINICAL PRAC	6
Nursing	1224	SR INSTRUCTOR - CLINICAL PRACT	5
Nursing	1225	INSTRUCTOR - CLINICAL PRACTICE	28
Nursing	1303	ASST PROFESSOR-RESEARCH	2
Nursing	1304	RESEARCH INSTRUCTOR	1

Nursing	1309	SR PROFESSIONAL RESEARCH ASST	1
Nursing	1310	PROFESSIONAL RESEARCH ASST	10
Nursing	1311	RESEARCH SENIOR INSTRUCTOR	1
Nursing	1409	PROFESSOR ADJUNCT	3
Nursing	1410	ASSOC PROFESSOR ADJUNCT	2
Nursing	1411	ASST PROFESSOR ADJUNCT	4
Nursing	1412	SENIOR INSTRUCTOR ADJUNCT	1
Nursing	1413	INSTRUCTOR ADJUNCT	77
Nursing	1438	POST-DOCTORAL FELLOW	1
Nursing	1439	FACULTY FELLOW	3
Pharmacy	1104	SENIOR INSTRUCTOR	6
Pharmacy	1105	INSTRUCTOR	2
Pharmacy	1214	CLINICAL SENIOR INSTRCTR (C/T)	2
Pharmacy	1301	PROFESSOR-RESEARCH	1
Pharmacy	1302	ASSOC PROFESSOR-RESEARCH	5
Pharmacy	1303	ASST PROFESSOR-RESEARCH	5
Pharmacy	1304	RESEARCH INSTRUCTOR	5
Pharmacy	1305	SR RESEARCH ASSOCIATE	1
Pharmacy	1306	RESEARCH ASSOCIATE	6
Pharmacy	1308	VISITING RESEARCH ASSOCIATE	6
Pharmacy	1309	SR PROFESSIONAL RESEARCH ASST	8
Pharmacy	1310	PROFESSIONAL RESEARCH ASST	29
Pharmacy	1409	PROFESSOR ADJUNCT	1
Pharmacy	1413	INSTRUCTOR ADJUNCT	1
Pharmacy	1419	LECTURER	1
Pharmacy	1438	POST-DOCTORAL FELLOW	24
Public Affairs	1104	SENIOR INSTRUCTOR	3
Public Affairs	1105	INSTRUCTOR	1
Public Affairs	1211	CLINICAL PROFESSOR (C/T)	1
Public Affairs	1310	PROFESSIONAL RESEARCH ASST	5
Public Affairs	1419	LECTURER	25
Public Affairs	1442	SCHOLAR IN RESIDENCE	2
Public Health	1104	SENIOR INSTRUCTOR	2
Public Health	1105	INSTRUCTOR	5
Public Health	1211	CLINICAL PROFESSOR (C/T)	1
Public Health	1212	CLINICAL ASSOC PROFESSOR (C/T)	2
Public Health	1213	CLINICAL ASST PROFESSOR (C/T)	2
Public Health	1301	PROFESSOR-RESEARCH	1
Public Health	1302	ASSOC PROFESSOR-RESEARCH	2
Public Health	1303	ASST PROFESSOR-RESEARCH	11
Public Health	1304	RESEARCH INSTRUCTOR	13
Public Health	1306	RESEARCH ASSOCIATE	13
Public Health	1309	SR PROFESSIONAL RESEARCH ASST	44
Public Health	1310	PROFESSIONAL RESEARCH ASST	47
Public Health	1311	RESEARCH SENIOR INSTRUCTOR	2
Public Health	1409	PROFESSOR ADJUNCT	1
Public Health	1411	ASST PROFESSOR ADJUNCT	4
Public Health	1413	INSTRUCTOR ADJUNCT	7

Public Health	1415	ASSOC PROFESSOR ATTEND RANK	1
Public Health	1438	POST-DOCTORAL FELLOW	7

* Preliminary AY2018 data.
** Includes Libarians, (Sr) Professional Research Assistants and Post-Doctoral Fellows.

Appendix B: Architecture and Planning Report

Section A.   Titles, Contracts, and Workloads
Please answer the following questions for each of the schools, colleges, and libraries within your campus.

   1.   What titles are in use for NTTF?

1104	Architecture & Planning	SENIOR INSTRUCTOR
1105	Architecture & Planning	INSTRUCTOR
1212	Architecture & Planning	CLINICAL ASSOC PROFESSOR (C/T)
1213	Architecture & Planning	CLINICAL ASST PROFESSOR (C/T)
1302	Architecture & Planning	ASSOC PROFESSOR RESEARCH
1306	Architecture & Planning	RESEARCH ASSOCIATE
1309	Architecture & Planning	SR PROFESSIONAL RESEARCH ASST
1310	Architecture & Planning	PROFESSIONAL RESEARCH ASST
1409	Architecture & Planning	PROFESSOR ADJUNCT
1410	Architecture & Planning	ASSOC PROFESSOR ADJUNCT
1411	Architecture & Planning	ASST PROFESSOR ADJUNCT
1416	Architecture & Planning	ASST PROFESSOR ATTENDANT
1419	Architecture & Planning	LECTURER

   2.   Are policies and procedures in place for initiating and reviewing NTTF contracts? If
           so, please summarize them.

The College of Architecture and Planning reviews NTTF contracts annually in addition to the annual performance evaluation. Reappointment review for Clinical Teaching Track faculty is every three years. In addition new NTTF hires are vetted through the CU Denver office of Human Resources.

   3.   Are workloads specified for each job title? If so, what are those workloads?

Workloads for Clinical Teaching Track faculty are specified: six courses per AY unless they have an administrative title which grants a course release (e.g., Associate Chair); 20% research, 20% service. Workloads for Instructors and Senior Instructors are specified: eight courses per AY for a 100% appointment unless they have an administrative title which grants a course release (e.g., Associate Chair); 20% Service. This teaching load is for individuals hired after Fall 2015. All Instructors/Senior Instructors hired before this time are grandfathered in with a six courses per AY teaching load.
Workloads for adjunct faculty are also specified but may vary from one adjunct to another. Lecturers are hired on a per-course per semester basis.

Section B.   Evaluation and Promotion
Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1.   What policies and procedures are in place to ensure systematic evaluation of NTTF? If so, please summarize them.

CAP has Hiring, Reappointment, Promotion and Evaluation Guidelines for NTTF. These guidelines address the evaluation criteria for each NTTF job code based on contract requirements which may include teaching, research and service. The evaluation criteria for CTT and Instructor vary by rank and include: Teaching assessment (FCQ's, syllabi, assignment, and student learning outcomes) and service evaluation.

2.   How frequently are these evaluations conducted?

Evaluations of both TTF and NTTF positions are conducted annually. Reappointment review for Clinical Teaching Track faculty is every three years.

3.   Are there policies and procedures for promotion within and between appropriate title categories? If so, please summarize them.

CAP has Hiring, Reappointment, Promotion and Evaluation Guidelines for NTTF in addition to following all applicable University procedures related to faculty promotion. These guidelines address the criteria for promotion consideration within NTTF job codes. A request process or self-nomination must be submitted to the chair of the department where the NTTF is rostered. To be considered the NTTF must meet the requirements of the new rank and submit assessment materials for review. Department faculty must vote on candidates to be forwarded to the hiring authority and provost for recommendation of promotion.

Section C.   Compensation and Benefits
Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1.   At what percentage of FTE are the NTTF holding various titles eligible for benefits? (The 1999 NTTF Recommendations set the goal that "Each primary unit determines what a full-time workload is for its NTTF, and that 50% workload be understood to be half of that departmentally-determined full-time load.")

Instructor and Clinical level positions are eligible for benefits if they hold an appointment of 50% or higher. Adjunct and Lecturer NTTF are not eligible for benefits, except if they meet eligibility under the Affordable Care Act.

2.   How are the policies and procedures related to compensation and benefits made readily accessible to NTTF, their supervisors, and relevant staff?

All policies and procedures related to compensation and benefits are available to NTTF through the CU Denver website and CAP specific policies are provided and identified at the time of contract to NTTF.

Section D.   Professional Development, Recognition, and Grievance
Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1.   What opportunities and types of support are available to NTTF for professional development?

Associate chair and administrative positions within CAP are available to NTTF, with additional compensation and reduced teaching loads. Professional development funding is available for Instructor and Clinical level positions on a pro-rated basis based on departmental and College resources.

2.   How are NTTF recognized for excellent performance? For instance, are there any awards or other public expressions of appreciation for contributions to the University's mission?

There is a dedicated category for NTTF teaching in the annual Faculty Excellence Awards in CAP, and NTTF are eligible in the service category as well. The college winners are eligible subsequently for the campus-wide awards.

3.   Are there policies and procedures for addressing grievances by NTTF? If so, please summarize them.

The current CAP Bylaws, Section 12.2.c) <u>Annual Evaluation of Faculty for Compensation Adjustment</u>, states:

> <u>Request for Reconsideration</u>: (note: academic units have been asked to develop an appeal process) It is the right of the individual faculty to request reconsideration of results of the evaluation in the event that (s)he disagrees with the chair's evaluation. To initiate the reconsideration process, the individual faculty shall contact the chair, in writing, to state the reason(s) for reconsideration. The chair will review the requests for reconsideration. If deemed justified, the chair will contact the individual faculty either to ask for additional information or to schedule a meeting with the individual faculty. It is the responsibility of the individual faculty requesting the reconsideration to abide by the schedule of the Salary Adjustment process in each review cycle. Upon reviewing the additional information or hearing the request by the individual faculty, the chair will make his/her decision and inform the individual faculty as soon as possible.
>
> In the event that the individual faculty disagrees with the decision made by the chair, it is the right of the individual faculty to submit a written request to the dean, who may engage the Faculty Affairs Committee to review the request. Beyond the dean's office, there is no further step for reconsideration within the University of Colorado at Denver and Health Sciences Center. Those faculty who wish to carry the reconsideration process further can contact the University of Colorado Faculty Senate Committee on Privilege and Tenure.
>
> Please note: At present there is a college task force that is reviewing all policies for the college and making recommendations for changes. This task force will

propose a new faculty grievance policy, which will then be presented to the college for comment and acceptance.

Appendix C: Arts & Media Report

Section A.   Titles, Contracts, and Workloads

1. What titles are in use for NTTF?

1104	SENIOR INSTRUCTOR
1105	INSTRUCTOR
1211	CLINICAL PROFESSOR
1213	CLINICAL ASST PROFESSOR
1310	PROFESSIONAL RESEARCH ASST
1419	LECTURER

2. Are policies and procedures in place for initiating and reviewing NTTF contracts? If so, please summarize them.

Contracts are prepared annually for Senior Instructors, Instructors and Clinical Track faculty and for the summer term, as applicable. The contracts outline the expected instruction effort in terms of percent of time, number of courses delivered and proportionate salary. Teaching loads and assignments are evaluated each semester by the department Chairs and Associate Dean and HR/Budget staff as needed. Lecturer contracts are prepared on a semester by semester basis indicating the specific courses to be taught and associated course payments in a given semester. Each NTT contract includes language explaining how teaching assignments may fluctuate and are contingent upon the schedule of courses offered each term, the required number of student enrollments in tentatively scheduled courses and the Dean's decision regarding effective use of College resources. Any changes to the percent of time or courses indicated in the original offer letters are communicated to the respective faculty member in writing by the department chairs prior to census date each semester. The Director of Human Resources is also notified of any changes in teaching assignments where salary adjustments are required in the HR system.

3. Are workloads specified for each job title? If so, what are those workloads?

Senior Instructor/Instructor
1 FTE is 24 credit hours per academic year. (100% teaching)

Lecturers
Teach up to 6 credit hours per semester.

Assistant Professor Clinical Track
1 FTE is 18 credit hours per academic year. (Equivalent to 75% teaching and 25% research/creative work and service)

Section B.   Evaluation and Promotion

1. What policies and procedures are in place to ensure systematic evaluation of NTTF? If so, please summarize them.

Policies and Procedures:
CAM Instructors, Senior Instructors and Clinical Track faculty undergo an annual review. These faculty submit a CAM Instructor Merit Matrix-Teaching, FCQs, syllabi examples and a current vita. Instructors meet with the cognizant Department Chair and Dean to review and score all materials submitted.

Available lecturers may meet annually in the spring with program Area Heads. Documentation requested for these meetings include a CV, FCQs, and syllabi.

Area Heads and Department Chairs can review instructor and lecturer syllabi. If concerns arise, Chairs/Area Heads may implement a variety of responses including a meeting to review the concerns, assignment of a faculty mentor, a request for the faculty member to work with the Center for Faculty Development, and suggestions for improving either syllabi, teaching and learning strategies or both.

2. How frequently are these evaluations conducted?

   NTTF are evaluated annually. Lecturers are evaluated by Department Chairs at the beginning of each semester through a review of all departmental Syllabi and, at the end of each semester, through a review of all course FCQs.

3. Are there policies and procedures for promotion within and between appropriate title categories? If so, please summarize them.

   Lecturers interested in Instructor positions can notify department chairs of their interest in such a position and can apply for open positions as CAM utilizes CU Careers to post all positions. Instructors can be promoted to Senior Instructors, but must meet the criteria and undergo a review process for that promotion. CAM follows University Guidelines for promotion to Senior Instructor. Instructors interested in T/TT positions can apply for posted positions or seek conversion based on university procedures and availability of a faculty line.

Section C.   Compensation and Benefits
Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. At what percentage of FTE are the NTTF holding various titles eligible for benefits?

   Senior Instructors and Instructors are eligible for benefits if they hold an appointment of 50% or higher of a 24 FTE (credit hour) load. Appointments less than 100% must be approved by the Associate Dean, department chair and HR/Budget staff. Senior Instructors or Instructors teaching less than 50% time will be classified as Lecturers and in that case, would not be eligible for benefits.

   Lecturers are not eligible for benefits.

Assistant Professors Clinical Track are eligible for benefits if they hold an appointment of 50% or higher of a 18 FTE (credit hour) load. Appointments less than 100% must be approved by the Associate Dean, department chair and HR/Budget staff.

2. How are the policies and procedures related to compensation and benefits made readily accessible to NTTF, their supervisors, and relevant staff?

   All courses follow established CAM compensation rates. The contract identifies compensation and benefits made available to NTTF. All policies and procedures related to benefits are available to NTTF through the CU Employee Services website.

Section D.   Professional Development, Recognition, and Grievance
Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. What opportunities and types of support are available to NTTF for professional development?

   University Resources
   CAM directs all faculty to participate in the workshops and services offered at the Center for Faculty Development and CU Online. In addition, we work to align our faculty and staff meetings in concert with Center for Faculty Development and CU Online workshops especially at the beginning of each semester.

   Recognition
   CAM annually solicits NTTF nominees for college and university awards.

2. How are NTTF recognized for excellent performance? For instance, are there any awards or other public expressions of appreciation for contributions to the University's mission?

   CAM recognizes significant contributions through letters of commendation when warranted. Through our annual review process, instructors and clinical track faculty can earn raises based on performance when the University budget supports merit increases.

3. Are there policies and procedures for addressing grievances by NTTF? If so, please summarize them.

   CAM follows University Policies and Procedures for addressing grievances. In addition, NTTF have access to CAM administrators and committees.

Appendix D: Auraria Library Report

Section A.   Titles, Contracts, and Workloads
Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. What titles are in use for NTTF?

    Auraria Library uses the ranks of Instructor and Senior Instructor for NTTF librarians. In addition and independent of rank, we use position titles to describe our professional portfolios, such as Collection Development Librarian, Research and Instruction Librarian, Electronic Resources Librarian, etc.

2. Are policies and procedures in place for initiating and reviewing NTTF contracts? If so, please summarize them.

    NTTF are at-will employees. NTTF are evaluated on an annual basis. See Section B for a summary description of this evaluation process.

3. Are workloads specified for each job title? If so, what are those workloads?

    Yes, workloads are specified for each position on an annual basis. Generally, the recommended workload is 90% librarianship (that is, primary job, which may include teaching, research consultancy, collection development, cataloging, etc.) and 10% service. Professional Development is included in primary job responsibilities. Changes to the recommended percentages may be negotiated between the individual and that person's supervisor resulting in the completion of a Differentiated Workload form.

Section B.   Evaluation and Promotion
Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. What policies and procedures are in place to ensure systematic evaluation of NTTF? If so, please summarize them.

    At the beginning of the evaluation period (calendar year), the NTTF librarian develops, in consultation with his/her supervisor, a professional plan for Librarianship which details specific goals, expected evidence of impact, and how the goals relate to the goals of the department and/or to the Library's Strategic Plan. The NTTF librarian completes a self-evaluation which is shared with the supervisor who evaluates the work on the 5 point scale of Fails Expectations – Outstanding.

    The NTTF librarian also creates a Service plan. Service activities (usually 10% of the librarian's responsibilities) are identified in the librarian's FRPA and evaluated by librarian peers serving on the Leadership and Service Evaluation Committee.

The NTTF service evaluation guidelines are on the Library's internal wiki and are titled "Evaluation Criteria for Service Activities for Auraria Library Faculty Annual Evaluation". The LSEC evaluates service activities on the 5 point scale of Fails Expectations – Outstanding.
Also, most of the librarian representatives on the CU Denver committees upon which we serve are elected by a simple majority vote of the entire Library faculty.

2. How frequently are these evaluations conducted?

   Annually

3. Are there policies and procedures for promotion within and between appropriate title categories? If so, please summarize them.

   LIBRARY'S CRITERIA FOR PROMOTION [FROM INSTRUCTOR] TO RANK OF SENIOR INSTRUCTOR (as of Oct 2017):
   1. Faculty member must have served a minimum of *72 months* at *an academic library or research library with similar services to an academic library* as a full-time, librarian*; at least 24 of these months must be months in service at the Auraria Library.* Additionally, there must be a minimum of *two Auraria Library* annual evaluations available for review.

   2. The faculty member's overall body of work in primary job *and service* must be judged by *the Senior Instructor Rank Committee* and the University Librarian/Director as meeting expectations or higher over the last *two annual evaluation periods* at Auraria Library. *Only evaluations from the Auraria Library will be considered and reviewed for promotion to Senior Instructor.*

   3. Some examples of evidence of work *that meets or exceeds expectations* include:
   A. Primary job evaluation scores generally *"Meeting Expectations"* or above, coupled with a careful reading of the *supervisor's annual* evaluation narratives.
   B. One or more awards related to primary job *or service*.
   C. Outside letters of recognition related to primary job *or service*.

Section C.　　Compensation and Benefits
Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. At what percentage of FTE are the NTTF holding various titles eligible for benefits? (The 1999 NTTF Recommendations set the goal that "Each primary unit determines what a full-time workload is for its NTTF, and that 50% workload be understood to be half of that departmentally-determined full-time load.")

   Since NTTF Librarians are 12-month employees, a full-time workload is generally considered a 40-hr week. Therefore, any NTTF Librarian working more than a 50% workload, that is, more than 20 hours a week, is eligible for

benefits. Currently, one NTTF Librarian has a 60% workload agreement and another has a 90% agreement. All others are on a 100% workload.

2. How are the policies and procedures related to compensation and benefits made readily accessible to NTTF, their supervisors, and relevant staff?
Policies and procedures are accessible on the Library's intranet and shared drive. Questions about policy and procedure may be directed to the Library's Associate Director of Administrative Services (or the equivalent), to the Library Faculty Personnel Committee, and/or to the Auraria Library Faculty group (Chair and Secretary are elected by the entire Library Faculty).

Section D.   Professional Development, Recognition, and Grievance
Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. What opportunities and types of support are available to NTTF for professional development?

   NTTF are encouraged to participate in professional development. Peers, supervisors, and administrators share information about opportunities. Both release time and financial assistance for professional development may be made available depending on the Library's budget. The Library's Shared Leadership Team, which has representation from across the Library including NTTF members, has vetted professional development and training guidelines including an application form to be used by Library employees seeking support.

2. How are NTTF recognized for excellent performance? For instance, are there any awards or other public expressions of appreciation for contributions to the University's mission?

   NTTF may be recognized by their supervisors in the annual review process, by their peers in the University's Service Award process, and by their peers in the Excellence in Librarianship Award process. Informally, the Library's email list, departmental communications, internal Library newsletters and the all-library Open Forum meetings are often used to recognize the accomplishments of individuals. Additionally, in recognition of a career of excellence and contribution, NTTF may apply for and be granted emeritus/emerita status.

3. Are there policies and procedures for addressing grievances by NTTF? If so, please summarize them.

   We rely on CU Board of Regents Policy 5: Faculty Senate Grievance Process at https://www.cu.edu/regents/Policies/Policy5H.htm. The Auraria Library Faculty By-Laws also include information on the grievance process and are readily available on the Library's internal wiki.

Appendix E: Business Report

From: Young, Cliff
Sent: Friday, October 27, 2017 11:46 AM
To: Baitinger, Mary <MARY.BAITINGER@UCDENVER.EDU>
Subject: RE: Non-Tenure-Tenure Track Faculty (NTTF) Template for Annual Fall Report - sent on behalf of AVC Laura Goodwin

Hi Mary,

No updates at present for the Business School. We are in the process of making changes but they will be reflected in next iteration.

Cliff

Section A.   Titles, Contracts, and Workloads
Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. What titles are in use for NTTF?

    Job Description
    Senior Instructor
    Instructor
    Lecturer
    Visiting Assistant Prof
    Professor Adjunct

2. Are policies and procedures in place for initiating and reviewing NTTF contracts? If so, please summarize them.

    Instructors: Requests are initiated by disciplines, approved by dean. Search is conducted at business school level. Contracts are written by HR director and approved by dean.

    Senior Instructors: Recommendations are forwarded by discipline. Future promotions to senior instructor to be in conjunction with multi-year contract.

    Lecturers: Disciplines determine need for lecturers, initiate search and evaluation of candidates. Standard contracts are written by HR director and approved by dean.

    Visiting Assistant Professors: Requests are initiated by disciplines, approved by dean. Search is conducted at business school level. Contracts are written by HR director and approved by dean.

3. Are workloads specified for each job title? If so, what are those workloads?

Workloads are specified for each job.

Senior Instructor, Instructor: 3-4 teaching load, 70% teaching 20% Maintenance of Academic or Professional Qualifications, 10% service.

Visiting Assistant Professor, Professor Adjunct, Lecturer: Workloads are specified in the individual contracts.

Section B.   Evaluation and Promotion
Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. What policies and procedures are in place to ensure systematic evaluation of NTTF? If so, please summarize them.

    Instructors and Senior Instructors are evaluated annually along with Tenure Track faculty along criteria of teaching, intellectual contribution, and service.

    Lecturers are systematically evaluated for teaching and competency

    Visiting Asst Professors and Professor Adjuncts are special contracts and not evaluated after hire.

2. How frequently are these evaluations conducted?

    Instructors and Senior Instructors: Annually

    Lecturers: In the first year and every third year thereafter.

3. Are there policies and procedures for promotion within and between appropriate title categories? If so, please summarize them.

    All Instructors are eligible for promotion to Senior Instructor. They must undergo a full review by the school's Primary Unit, and then be approved for promotion by the dean. Future promotions will be consistent with recent APS on multi-year contracts.

Section C.   Compensation and Benefits
Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. At what percentage of FTE are the NTTF holding various titles eligible for benefits? (The 1999 NTTF Recommendations set the goal that "Each primary unit determines what a full-time workload is for its NTTF, and that 50% workload be understood to be half of that departmentally-determined full-time load."

2. How are the policies and procedures related to compensation and benefits made readily accessible to NTTF, their supervisors, and relevant staff?

Information about compensation and benefits is available in our college level HR office.

Section D.   Professional Development, Recognition, and Grievance
Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. What opportunities and types of support are available to NTTF for professional development?

    Instructors and senior instructors can be elected to the Faculty Assembly.

    The school has rules for instructors' and senior instructors' participation in faculty meetings and other committees. Except for RTP (reappointment, tenure, and promotion) decisions, they are treated as other full-time faculty members. Instructors and senior instructors vote at faculty meetings after one year on the faculty. Lecturers have no voting rights.

    Instructors and Senior Instructors have Teaching, Maintenance of Academic or Professional Qualification, and Service requirements. As such they are supported similar to Tenure-Track Faculty both in teaching development and in travel to conferences.

2. How are NTTF recognized for excellent performance? For instance, are there any awards or other public expressions of appreciation for contributions to the University's mission?

    Instructors and Senior Instructors are eligible for the Business School annual instructor award. The award is considered comparable to the Tenure-Track faculty awards in teaching, research and service.

3. Are there policies and procedures for addressing grievances by NTTF? If so, please summarize them.

    The Internal Affairs Committee considers grievances filed by any faculty or staff member in the school.

Appendix F: Dental Medicine Report

Section A.   Titles, Contracts, and Workloads

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1.   What titles are in use for NTTF?

Instructor
Assistant Professor Clinical Track (C/T)
Associate Professor Clinical Track (C/T)
Professor Clinical Track (C/T)
Professor (NTT)
Clinical Instructor
Clinical Assistant Professor
Clinical Associate Professor
Clinical Professor
Assistant Professor Research
Associate Professor Research
Research Associate
Professional Research Assistant
Senior Professional Research Assistant
Emeritus Professor

2. Are policies and procedures in place for initiating and reviewing NTTF contracts? If so, please summarize them.

The School of Dental Medicine follows the CU Denver policies and procedures for initiating NTTF contracts and reviews contracts annually. CU Denver Human Resources recommends the use of a standard format, which is in use at the School of Dental Medicine.

3.   Are workloads specified for each job title? If so, what are those workloads?

Workloads are established based on the clinical department's instructional and clinical requirements. Differentiated workloads within a job title for both NTTF and TTF may be requested in writing and require appropriate approval and justification.

Section B.   Evaluation and Promotion
Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1.   What policies and procedures are in place to ensure systematic evaluation of NTTF? If so, please summarize them.

The School of Dental Medicine policies and procedures require a comprehensive annual review and evaluation for all NTTF (except the Research Assistant/Associate series of titles) with a 50% or greater appointment. The same review and evaluation policies and procedures apply to both TTF and NTTF. For the Research Assistant/Associate series of job titles, the School of Dental Medicine conducts an annual evaluation as required by CU Denver policy using the recommended "Annual Performance Evaluation Form".

2.   How frequently are these evaluations conducted?

The School of Dental Medicine conducts reviews and evaluations annually.

3.   Are there policies and procedures for promotion within and between appropriate title categories? If so, please summarize them.

The School of Dental Medicine follows CU Denver policies and procedures regarding promotions within and between appropriate title categories. This includes review by the Promotion, Tenure, and Post-Tenure Review Committee, the Dean's Review Committee, and the Dean. Per policies and procedures, if there is a disagreement between the committees, and the individual faculty member still wants to submit their name for promotion, they are reviewed by the Vice Chancellor's Advisor Committee.

Section C.   Compensation and Benefits
Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1.   At what percentage of FTE are the NTTF holding various titles eligible for benefits? (The 1999 NTTF Recommendations set the goal that "Each primary unit determines what a full-time workload is for its NTTF, and that 50% workload be understood to be half of that departmentally-determined full-time load.")

The School of Dental Medicine adheres to University of Colorado benefits eligibility criteria and thereby provides benefits to those with a 50% or greater FTE. FTE is

based on percentage of effort and is reflected in the workload assignment for each position.

2. How are the policies and procedures related to compensation and benefits made readily accessible to NTTF, their supervisors, and relevant staff?

    The University of Colorado Payroll and Benefits website contains information about benefit eligibility. The School of Dental Medicine provides benefits information, including reference to the Payroll and Benefits website, to all employees with 50% or greater FTE.

Section D.   Professional Development, Recognition, and Grievance
Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1.   What opportunities and types of support are available to NTTF for professional development?

    The School of Dental Medicine provides seminars, lectures, and demonstrations for both its NTTF and it TTF. In addition, funding is provided for attending professional development conferences, participating in specialized training, membership in professional organizations, and procuring relevant educational and technological tools.

2. How are NTTF recognized for excellent performance? For instance, are there any awards or other public expressions of appreciation for contributions to the University's mission?
    All faculty members (NTTF and TTF) participate in the School of Dental Medicine compensation plans as well as excellence and special accomplishment awards.

3. Are there policies and procedures for addressing grievances by NTTF? If so, please summarize them.

    Grievances by NTTF are resolved by the Dean in consultation with the faculty members and others relevant to the issue of the grievance.

    In addition, Faculty members also have the option of bringing their grievance to the Faculty Grievance Subcommittee as outlined in the School of Dental Medicine's Faculty Senate Governance document:

    The Faculty Grievance Subcommittee shall review and evaluate grievances brought forth by a faculty member and shall submit a recommendation concerning the grievance to the dean. Grievances relating to work assignments, work schedules, annual evaluations, annual salary increments, or similar matters may be brought before the Faculty Grievance Subcommittee by a faculty member. The Faculty Grievance Committee will not, however, review any grievances relating to promotion or denial of promotion in academic rank or reappointment. These would be referred to the Dean's Review Committee. The Faculty Grievance Committee shall have the

authority to determine if a grievance should be heard or processed through alternative channels.

Appendix G: Education and Human Development Report

Section A.   Titles, Contracts, and Workloads

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. What titles are in use for NTTF?

1104	SENIOR INSTRUCTOR
1105	INSTRUCTOR
1211	CLINICAL PROFESSOR (C/T)
1212	CLINICAL ASSOC PROFESSOR (C/T)
1213	CLINICAL ASST PROFESSOR (C/T)
1301	PROFESSOR-RESEARCH
1302	ASSOC PROFESSOR-RESEARCH
1303	ASST PROFESSOR-RESEARCH
1306	RESEARCH ASSOCIATE
1309	SR PROFESSIONAL RESEARCH ASST
1310	PROFESSIONAL RESEARCH ASST
1419	LECTURER

2. Are policies and procedures in place for initiating and reviewing NTTF contracts? If so, please summarize them.

   The process for hiring NTTF (excluding lecturers) include the following: (a) The programs recommend a person for the position and the Dean approves; (b) SEHD Human Resources drafts a contract, which is reviewed by the Dean and campus Human Resources; (c) The Dean signs the approved contract and it is mailed to the employee for signature; (d) All NTTF hires are included in the Chancellor Action reports, which are submitted with copies of the contracts; and (e) A Professional Plan is filled out after employment.

   The process for hiring lecturers includes: (a) Contracts are drafted from the School's load report before the semester begins; (b) After review by the Dean's office, the contracts are signed and they are mailed to the employees for signature; and (c)All NTTF hires are included in the Chancellor Action reports, which are submitted with copies of the contracts.

3. Are workloads specified for each job title? If so, what are those workloads?

   A. Sr. Instructors/Instructors are 80% teaching and 20% service
   B. Clinical Teaching Track Professors, 80% teaching, 10% research, 10% service; or as negotiated

C. The workload of Research Professors and Professional Research Assistant varies according to grant and project obligations
D. Lecturers are limited to teaching 6 credits per term

Section B.　　Evaluation and Promotion
Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. What policies and procedures are in place to ensure systematic evaluation of NTTF? If so, please summarize them.

   Non tenure-track faculty members participate in the annual faculty merit review.

2. How frequently are these evaluations conducted?

   The evaluations are conducted annually.

3. Are there policies and procedures for promotion within and between appropriate title categories? If so, please summarize them.

   A process for promoting clinical teaching professors from Assistant to Associate and from Associate to Professor is currently under review. This process involves review by the SEHD Clinical Teaching Promotion Review committee and the Dean's approval.

Section C.　　Compensation and Benefits
Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. At what percentage of FTE are the NTTF holding various titles eligible for benefits? (The 1999 NTTF Recommendations set the goal that "Each primary unit determines what a full-time workload is for its NTTF, and that 50% workload be understood to be half of that departmentally-determined full-time load.")

   Any NTTF 50% time or greater are eligible for benefits.

2. How are the policies and procedures related to compensation and benefits made readily accessible to NTTF, their supervisors, and relevant staff?

   The policies and procedures are made readily through a UCD and SEHD New Employee Orientation that is held within the first several weeks of the semester, and through the SEHD Faculty Handbook.

Section D.　　Professional Development, Recognition, and Grievance
Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. What opportunities and types of support are available to NTTF for professional development?

    NTTF may receive professional development funds through their program areas (as part of program improvement funds). NTTF also may participate in professional development workshops offered in the School of Education and Human Development. Additionally, NTTF may access travel funds for presentations from the SEHD Faculty Development Fund.

2. How are NTTF recognized for excellent performance? For instance, are there any awards or other public expressions of appreciation for contributions to the University's mission?

    NTTF are eligible for the school and university awards.

3. Are there policies and procedures for addressing grievances by NTTF? If so, please summarize them.

    NTTF may use the grievance procedures available to all other faculty in the SEHD. We follow system-wide policies for addressing grievances.

Appendix H: Engineering and Applied Science Report

Non-Tenure-Track Faculty Report
College of Engineering and Applied Science
Spring 2018

Section A.   Titles, Contracts, and Workloads
Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1.   What titles are in use for NTTF?

Job Code	Job Description	Total
1104	Senior Instructor	2
1105	Instructor	2
1212	Clinical Associate Professor (C/T)	4
1213	Clinical Assistant Professor (C/T)	5
1214	Clinical Senior Instructor (C/T)	1
1301	Professor-Research	1
1302	Associate Professor-Research	1
1303	Assistant Professor-Research	4
1304	Research Instructor	8
1305	Senior Research Associate	1
1309	Senior Professional Research Assistant	2
1310	Professional Research Assistant	4
1311	Research Senior Instructor	4
1413	Instructor Adjunct	1
1419	Lecturer	27

2. Are policies and procedures in place for initiating and reviewing NTTF contracts? If so, please summarize them.

The College of Engineering and Applied Science (CEAS) follows CU Denver's *Hiring Process for Full Time Faculty* to hire all NTTF job titles in the 1100, 1200, 1300 and 1400 job code series, excluding 1305, 1306, 1309 and 1310 (Research Associates and Professional Research Assistants). For those job codes, the college follows the university's *Research Assistant/Associate (PRA) Hiring Process.* If the position to be filled requires a search, the department obtains the dean's approval to either proceed with a search or to fill a position without conducting a search (i.e., "appointment type"). An appointment type is permitted only when there is a qualified candidate available from a previous search or if the position serves as a promotional, transfer or rehire opportunity for a current or former University of Colorado employee. NOTE: In addition to the dean's approval, NTTF contracts with '*professor'* in the title must also be reviewed by HR and signed by the provost.

Process for Initiating/Reviewing Instructors/Sr. Instructors (1100 series)
Department chairs identify the instructional needs of their department and request the dean's approval to proceed with a search. The search is initiated by CEAS HR, but the search logistics (i.e., scheduling interviews, updating applicant's statuses in CU Careers, etc.) are managed by department staff. After a hiring recommendation is made by the search committee and the hiring decision is made by the chair (with concurrence of the dean), the contract outlining the terms of the appointment is drafted by CEAS HR, approved by the dean and submitted for final approval on the appropriate Personnel Matters Report.

Process for Initiating/Reviewing Clinical Teaching Track Faculty (1200 series)
The process for initiating Clinical Teaching Track (CTT) hires is similar to that of NTTF in the 1100 series. Four of our five departments have written standards and criteria for appointment to each of the CTT ranks as well as promotion to higher ranks. The criteria and standards for our fifth departments is expected to be in place by the end of the 2017/18 academic year. The CTT appointment and promotion process has also been incorporated into the college's bylaws.

Process for Initiating/Reviewing Research Faculty (1300 series)
The appointment of research faculty hired in connection with a grant award is within the discretion of the department chair and principal investigator (with concurrence of the dean). Contracts are drafted by CEAS HR or department staff (depending on the specific job code and level of delegated authority), approved by the dean and submitted for final approval on the appropriate Personnel Matters Report.

Process for Initiating/Reviewing Lecturers & Adjunct Faculty (1400 series)
The hiring of lecturers and adjunct faculty appointed on a semester-by-semester and course-by-course basis is within the discretion of the department chair. Offer letters are drafted by department staff using HR-approved templates, reviewed and signed by the department chair, and submitted for the dean's approval on the appropriate Personnel Matters Report.

3. Are workloads specified for each job title? If so, what are those workloads?

Workloads for NTTF in CEAS are dictated by the percentages of time devoted to teaching, research/creative activities, and service and are specified in the initial contract.

The workload for faculty in the instructor series is typically 80% teaching (eight courses per academic year) and 20% service. Teaching loads may be reduced if service activities exceed the equivalent of one course per semester. Service may include attending faculty meetings, participation on committees, transfer evaluation, advising, etc.

The default workload for CTT faculty is 80% teaching, 10% research and 10% leadership/service (80/10/10), but other workloads may be assigned by the department chair, subject to approval by the dean and provost.

The workload for research faculty varies according to grant/project obligations and is negotiated between the hiring authority and the employee.

Lecturers are hired on a course-by-course basis so their workloads vary from semester to semester. Currently, a three credit-hour course constitutes 22.5% time and the college generally limits lecturers to teaching nine credit hours per semester.

Section B.   Evaluation and Promotion
Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. What policies and procedures are in place to ensure systematic evaluation of NTTF? If so, please summarize them.

    Process for Initiating/Reviewing Instructors/Sr. Instructors (1100 series)
    Faculty in the instructor series are evaluated annually as part of the faculty compensation process. They are required to submit an online Faculty Report of Professional Activity (FRPA) and undergo a three-tiered review process (peers, chair and dean) similar to that of the tenured and tenure-track faculty (TTF) in the 1100 job series. They are evaluated under the same criteria as our TTF, but their weightings are adjusted according to their respective teaching, research and service expectations.

    Process for Initiating/Reviewing Clinical Teaching Track Faculty (1200 series)
    CTT faculty are also required to submit an online FRPA annually and undergo the same three-tiered review process as our TTF. CTT are evaluated according to departmental criteria and standards.

    Process for Initiating/Reviewing Research Faculty (1300 series)
    NTTF in this series are reviewed annually, but are not subject to the same three-tiered process as faculty in the 1100 and 1200 job series. They are required to submit an online FRPA and are reviewed by their supervisor and chair. They are evaluated under the same criteria as our TTF, but their weightings are adjusted according to their respective teaching, research and service expectations.

    Process for Initiating/Reviewing Lecturers & Adjunct Faculty (1400 series)
    The performance of faculty in this series is evaluated by the department chair based on the results of the Faculty Course Questionnaires (FCQs) completed by students each semester. Teaching appointments are renewed and assignments are adjusted according to past performance and departmental teaching needs. If a lecturer consistently receives poor FCQs, even after remediation, they are not rehired to teach in subsequent semesters.

    Faculty in the research assistant/associate series are evaluated annually by their supervisor.

    Adjoint faculty are special contracts and are not evaluated.

1. How frequently are these evaluations conducted?

   With the exception of lecturers and adjoint faculty, NTTF in CEAS are evaluated annually. Lecturers are evaluated every semester through FCQ review. Adjoint faculty are not evaluated.

2. Are there policies and procedures for promotion within and between appropriate title categories? If so, please summarize them.

   The appointment and promotion process for CTT faculty is governed by each department's approved criteria and standards, which have also been incorporated into the college's bylaws.

   As for other NTTF, the college does not have policies governing promotion. However, NTTF may request consideration for promotion to the next higher rank. They may also apply for open faculty positions.

Section C.   Compensation and Benefits
Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. At what percentage of FTE are the NTTF holding various titles eligible for benefits?

   Benefits eligibility is determined by Employee Services. Most NTTF who hold a 50% time or greater position are eligible for the full suite of benefits (medical, dental, life, retirement, etc.). Under the Affordable Care Act, an employee who was previously ineligible for benefits based on job classification may now be eligible for coverage under the ACA's definition of full-time employee. A full-time employee is defined as an employee who is employed on average at least 30 hours per week. These employees are now eligible for medical benefits that provide minimum essential coverage.

2. How are the policies and procedures related to compensation and benefits made readily accessible to NTTF, their supervisors, and relevant staff?

   Policies related to compensation and benefits are available to NTTF through the Employee Services and CU Denver Human Resources websites.

Section D.   Professional Development, Recognition, and Grievance
Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. What opportunities and types of support are available to NTTF for professional development?

   NTTF with teaching, research, and service requirements are supported similarly to TTF. All NTTF may request travel funds and professional development funds through their program areas. The college and/or departments will provide funds based on availability of funding.   NTTF are encouraged to actively participate in the

generation of grant/research proposals for external funds and are also encouraged to make use of university resources for professional development, such as the Center for Faculty Development.

2. How are NTTF recognized for excellent performance? For instance, are there any awards or other public expressions of appreciation for contributions to the University's mission?

   NTTF in CEAS may be nominated for the Provost's Award for Excellence in Practices Related to Non-Tenure Track Faculty (NTTF).

3. Are there policies and procedures for addressing grievances by NTTF? If so, please summarize them.

   CEAS follows campus HR policies and procedures with respect to NTTF grievances.

Appendix I: Health Sciences Library Report

Section A.   Titles, Contracts, and Workloads

1. What titles are in use for NTTF?

    - Instructors …………. 2
    - Senior Instructors…... 4
    - Assistant Professors ...7
    - Associate Professors...2

2. Are policies and procedures in place for initiating and reviewing NTTF contracts?

    [Data to be provided by Human Resources]

3. Are workloads specified for each job title? If so, what are those workloads?

    All faculty members at the Health Sciences Library (HSL) have non-tenure track promotion-eligible status and are at-will employees. Because they are promotion-eligible, faculty are encouraged to engage in service and research/creative activities.

    HSL faculty workloads are determined at the point of position creation by the appointing authority and/or Deputy Director, in consultation with the unit Department Head. Workloads represent the typical distribution of effort; at the Health Sciences Library that is usually 80% of effort directed to effectiveness in the position, 10% directed to service and/or outreach, and 10% directed to research/creative activities. Workloads at the HSL are therefore not dependent on title per se but rather the duties and responsibilities specific to the position. Workloads are later refined as needed.

Section B.   Evaluation and Promotion

1. What policies and procedures are in place to ensure systematic evaluation of NTTF?

    The policies and procedures for faculty evaluation at the HSL are detailed in the Library's governance document, *Criteria and Procedures for Appointment and Promotion for Library Faculty.*

    In summary, at the beginning of each calendar year, every Library faculty member prepares a Faculty Distribution of Effort Agreement (FDEA) with her/his supervisor/Department Head. This agreement reflects the primary responsibilities of the faculty member's position, the Library's strategic priorities for the year, and any special arrangements for individual activities or circumstances*.* The FDEA is reviewed by the Deputy Director and Director before it is finalized. At the end of the year, the supervisor/Department Head gives a score for each category of effort, and each score is multiplied by the percent of effort. The faculty member may also agree to include a behavioral or other rating instrument in the annual performance appraisal process. The Deputy Director and Director review all scores before they are finalized.

2. How frequently are these evaluations conducted?

   Faculty evaluation at the HSL is conducted on an annual basis.

3. Are there policies and procedures for promotion within and between appropriate titles categories?

   The HSL faculty governance document *Criteria and Procedures for Appointment and Promotion for Library Faculty* addresses assignment of faculty titles. Pursuant to the governance document criteria, faculty members are eligible for promotion after two - five years of service.

   In summary, the Faculty Status Committee is responsible for reviewing and evaluating all pertinent records and documents for candidates requesting promotion. The committee reviews these records and submits a written report and recommendation to the Director. Throughout the review process, the committee focuses on the quality and significance of the performance, service, research, teaching and other activities as described in the documentation.

   The Director provides the committee with the initial documentation packet for each candidate. The committee meets as necessary to give fair and equitable consideration to each candidate. The Chair may ask to meet with the candidate to discuss the documentation.   Upon conclusion of its deliberations, the Faculty Status Committee makes a written recommendation to the Director.

   Following consideration of the committee's recommendation, the Director may request a meeting with the committee or may proceed to make a decision regarding promotion. The Director informs the candidate of his/her decision and provides a copy of the Faculty Status Committee's report and recommendation. The candidate may request a meeting with the Director and the committee to discuss any questions regarding the decision. Efforts are made to resolve any disagreements at this time, before a recommendation is sent to the Associate Vice Chancellor Academic Planning. Upon receipt of approval or disapproval of that recommendation, the Director informs both the candidate and the Chair of the committee.

Section C.   Compensation and Benefits

1. At what percentage of FTE are the NTTF holding various titles eligible for benefits?

   [Data to be provided by Human Resources]

2. How are the policies and procedures related to compensation and benefits made readily available to NTTF, their supervisors, and relevant staff?

   Compensation: HSL faculty salaries are competitive with other academic health sciences libraries in the western United States, and the *Annual Statistics* of the Association of Academic Health Sciences Libraries is used to benchmark. Initial salary offerings are published with the position recruitment advertisement, and are based on the nature of the

position, title rank, and years of previous relevant experience.

At the HSL, merit is used to determine salary increases, and on the Anschutz Medical Campus the process is set by the Chancellor in concert with the Vice Chancellor for Finance and Administration. Specifically at the HSL, the total score derived for each individual faculty member from the Library's annual review process (see Section B.1) drives the distribution of merit pay. Merit salary increases are based on comparison across all Library faculty. At the conclusion of the annual review cycle, the Director prepares a recommendation for every faculty member in concert with Anschutz Medical Campus salary setting procedures. The Director includes any special salary adjustments for factors such as special merit or equity.

Benefits: HSL faculty are eligible for benefits through the University of Colorado system as 12 month faculty, and are informed by the appointing authority (Library Director) during the recruitment process and in the offer letter to become familiar with the relevant documentation available from Employee Services at http://www.cu.edu/employee-services. Newly hired faculty are reminded to make benefits-related decisions during mandatory new employee orientation. Library Administration encourages all faculty members to engage in the annual Open Enrollment process; distributes news of benefits changes, processes and enhancements via e-mail alerts; and provides leave time for attendance at open houses and fora addressing this annual activity.

Section D.   Professional Development, Recognition, and Grievance

1. What opportunities and types of support are available to NTTF for professional development?

   At the HSL, professional development is integrated, with a negotiated percent of effort, into individual Faculty Distribution of Effort Agreements. Most librarians are members of the Medical Library Association, which offers a professional recognition program called the Academy of Health Information Professionals (AHIP), and faculty are encouraged to be credentialed in the program through individualized professional development plans. At the Library, and within the AHIP program, a range of professional development activities are encouraged, including but not limited to: virtual and in-person conference and meeting participation and attendance; enrollment in continuing education courses offered by professional associations; and discussion group engagement. Faculty members are also encouraged to develop personalized plans for acquiring new skills, particularly in areas of information management.

   The Library provides an annual budget to support professional development for faculty, within the constraints of budget support, and strives to equitably fund each faculty member who presents a plan for professional development. Annually at the start of the new fiscal year, the Deputy Director solicits from the Library's Department Heads their expectations for professional development expenditures by individual faculty members; the Deputy negotiates with the Heads and faculty members their development plans and budget allotments, based on funds availability.

2. How are NTTF recognized for excellent performance?

   Aside from annual merit pay awards, there are limited opportunities to recognize the achievements of HSL faculty. Excellence in performance is typically rewarded with new committee assignments or opportunities to represent the Library in various venues.

   Internally, faculty accomplishments are acknowledged by the Director through e-mail announcements and at All Staff meetings. Externally, accomplishments are recognized in communications directed to the Associate Vice Chancellor Academic Planning and the Office of the Provost, to the representative-members of the Anschutz Medical Campus Faculty Assembly, and via the Library's online newsletter for its clientele, *The Appendix*. Press releases are also issued by Library Administration for particularly noteworthy faculty accomplishments and are distributed to the University of Colorado Denver | Anschutz Office of University Communications.

   Library leadership and faculty also nominate and advocate for their Library peers for awards and honors offered by regional and national professional associations and service societies within the community of practice.

   Library faculty are eligible for all University of Colorado awards and honors which may be extended to at-will employees, though they typically may not compete for awards that reward teaching achievements due to eligibility requirements. The Anschutz Medical Campus faculty awards programs does not present opportunities for recognizing, through awards or honors, the accomplishments of individual HSL faculty, unlike CU Denver. During 2010 and 2011, a small ad hoc team of faculty from the HSL and Auraria Library looked at this parity issue, considered award/recognition programs at other similar campuses with general and academic health sciences campuses, and submitted an assessment. The HSL Faculty Senate considered the resulting report and declined to advocate for a change to the current recognition system, determining that no harm or significant loss of opportunity results from the difference between the campuses.

3. Are there policies and procedures for addressing grievances by NTTF?

   All faculty members at the Health Sciences Library (HSL) have non-tenure track promotion-eligible status and are at-will employees.

   Grievance procedures pursuant to the promotion process are addressed in the Library's governance document, *Criteria and Procedures for Appointment and Promotion for Library Faculty*. In summary, the Director is empowered to establish a Review Committee to aid in the evaluation of recommendations forwarded by the Faculty Status Committee. For example, a Review Committee would be formed to consider a disagreement between the candidate for promotion and the Faculty Status Committee.

   Grievances related to annual reviews and job performance are governed by University of Colorado Human Resources policy, and during the annual review process faculty are encouraged to familiarize themselves with their rights and responsibilities.

Appendix J: Liberal Arts and Sciences Report

From: Wyckoff, John
Sent: Monday, October 30, 2017 1:59 PM
To: Goodwin, Laura
Subject: CLAS PTR Report and NTTF Report.

Laura,

Attached is the CLAS PTR Report for 2016-17. CLAS has no revisions for the biannual NTTF Report.

John

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Section A.   Titles, Contracts, and Workloads

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1.   What titles are in use for NTTF?
       Assistant Professor Clinical Teaching Track
       Associate Professor Clinical Teaching Track
       Professor Clinical Teaching Track
       Assistant Research Professor
       Associate Research Professor
       Research Professor
       Senior Instructor
       Instructor
       Lecturer

2.   Are policies and procedures in place for initiating and reviewing NTTF contracts? If so, please summarize them.

a. Written policy and procedure for nomination, review and approval of Clinical Teaching Track appointments.
b. Research Professor series: contracts are written by HR Coordinator in Office of the Dean, reviewed by HR, Dean and Provost. Submitted for approval on Personnel Matters Report to Provost.
c. Instructor series: contracts are written by HR Coordinator, reviewed and signed by Dean. Appointments submitted for approval on Personnel Matters Report to Dean.
d. Lecturer series: contracts written by department Program Assistants/Administrative Assistants using templates developed by Office of the Dean and approved by HR. Contracts reviewed by HR Coordinator in Office of the Dean then reviewed and signed by Dean. Appointments submitted for approval on Personnel Matters Report to Dean.

3. Are workloads specified for each job title? If so, what are those workloads?

Assistant, Associate and Full Professor Clinical Teaching Track
Each of these positions is typically 80% teaching, 10% service and 10% scholarship. There are sometimes variation more heavily weighted toward service, but in keeping with CLAS policy, scholarship never exceeds 20%.

Assistant, Associate and Full Research Professors
These positions are typically 100% research, often externally funded, but some faculty in these positions have contracts that specify some limited teaching and service.

Senior Instructor and Instructor
A 100% instructor or senior instructor would teach 9 classes per academic year with a 10% service obligation. Additional variation to the percentage of time in service may be specified in some contracts. Each course typically equals .1 FTE.

Lecturers
Lecturers teach one or two classes per semester. Course load never exceeds two courses per semester.

Section B.   Evaluation and Promotion
Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. What policies and procedures are in place to ensure systematic evaluation of NTTF? If so, please summarize them.

Clinical Teaching professors, Research Professors, Senior Instructors and Instructors are evaluated as part of the colleges annual merit review for faculty and staff. Clinical Teaching professors, Senior Instructors and Instructors complete FRPA forms and are evaluated by their department chairs.

Evaluation of lecturers is handled individually by departments.

2.   How frequently are these evaluations conducted?

Clinical Teaching professors, Research Professors, Senior Instructors and Instructor evaluations are conducted annually in the spring.

3.   Are there policies and procedures for promotion within and between appropriate title categories? If so, please summarize them.

The appointment and promotion of faculty in the Clinical Teaching Track ranks are defined by Primary Unit criteria. The candidate submits a dossier for department approval. This dossier is recommended to the Dean of the College. The Dean's Advisory Committee Clinical Teaching Track makes a recommendation to the Dean regarding appointment or promotion. The Dean's decision is forwarded to the Provost for approval.

Nominations for and promotions within the C/T can come from any member of the department faculty, but must be approved by a majority of the voting faculty, and must be accompanied by a written recommendation from the Department Chair. The candidate must compile a complete application packet (outlined below under Appointment and Evaluation of Clinical Teaching Track Faculty) which the Chair will forward to the CLAS Dean. Instructors and senior instructors who are not part of a department can be nominated for the C/T track by an Associate Dean in CLAS.

The Dean will make the final decision as to whether the individual should be recommended to the Chancellor for a C/T appointment or reappointment. The Dean will utilize the recommendations of the Departmental Chairs and the best interests of the primary unit and of CLAS in appointments or reappointments. In disputed cases or for promotions within the Clinical Track, the Dean will consult the Dean's Advisory Committee Clinical Track (DAC-C/T), which will initially be made up of three members of the Dean's Advisory Committee, three members of the Alternate Track task force and an Associate Dean. The DAC-C/T will ultimately consist of three members of the DAC, three C/T faculty members and an Associate Dean. In addition, the Dean will consult with the CLAS Council and the CLAS BPC regarding the percentage of faculty hired into the Clinical Track in each primary unit.
(from the Requirements for Appointment, Reappointment, and Promotion for Clinical Teaching Track Faculty in the College of Liberal Arts and Sciences, University of Colorado Denver.)

The process for appointment/promotion at the Senior Instructor level is nomination by a department chair and approval by the Dean.

Promotion from Lecturer to Instructor may occur based on teaching merit, or if a lecturer is assigned to teach more than 3 courses in a semester. Promotion is requested by Department Chair and approved by the Dean.

Currently the College does not have a written process for promotion between categories within the Research Professor series.

Section C.   Compensation and Benefits
Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1.   At what percentage of FTE are the NTTF holding various titles eligible for benefits?

NTTF at 50% FTE and above are eligible for benefits. Lecturers are not eligible for benefits at any FTE. Each course is equivalent to 0.1 FTE; lecturers are limited to 2 courses/0.20 FTE. Lecturer is not a benefits-eligible job code in CLAS on the DDC.

(The 1999 NTTF Recommendations set the goal that "Each primary unit determines what a full-time workload is for its NTTF, and that 50% workload be understood to be half of that departmentally-determined full-time load.")

2.   How are the policies and procedures related to compensation and benefits made readily accessible to NTTF, their supervisors, and relevant staff?

Policies are posted on the HR campus website, and via FAQs on the CLAS HR website. The Lecturer pay scale and Clinical Teaching Track policies are posted on the CLAS website. The CLAS website also provides links to Payroll and Benefits Services and UCD Human Resources.

Section D.   Professional Development, Recognition, and Grievance
Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1.   What opportunities and types of support are available to NTTF for professional development?

Departments often make travel and professional development funds available to NTTF within their departments. Clinical TT faculty, Senior Instructors and Instructors are eligible to apply for CLASAct grant funds for the development of innovating teaching techniques or course development.

2.   How are NTTF recognized for excellent performance? For instance, are there any awards or other public expressions of appreciation for contributions to the University's mission?

The College makes up to three awards annually for Excellence in Teaching by Non-tenure-track faculty. The three college winners are nominated for a campus-wide award.

3.   Are there policies and procedures for addressing grievances by NTTF? If so, please summarize them.

We follow DDC campus HR policies and procedures for NTTF grievances. We have no additional CLAS policies.

Appendix K: Medicine Report

To: Laura Goodwin, Ph.D., Associate Vice Chancellor

From: Steven R. Lowenstein, M.D., M.P.H.
                Associate Dean for Faculty Affairs

                Cheryl Welch, Director, Office of Faculty Affairs

Date: November 9, 2017

Subject: Non-tenure track faculty at the School of Medicine

Thank you for the opportunity to provide current information about the status of non-tenure track (NTT) faculty members within the School of Medicine. As we pointed out in our 2015 and earlier reports, we share the view of the System Academic Affairs Office and the Faculty Council that NTT faculty members make important contributions to the University's teaching, research and service missions.

The following comments pertain to SOM NTT faculty members who hold M.D., D.O. or Ph.D. degrees:

- Our NTT faculty (Instructors, Senior Instructors, and faculty members in the Research Professor series and the still-new Clinical Practice series) have equal benefits and equal opportunities to participate in school-wide governance, when compared with tenure-eligible faculty members.
- While department-level governance opportunities may vary, all Instructors, Senior Instructors, Research Professor Series and Clinical Practice Series faculty are members of the Executive Faculty and may be elected to the School of Medicine Faculty Senate.
- Salaries are determined by training, degree, scientific or clinical discipline, market forces, length of service and responsibilities --- not by arbitrary salary bands.
- All these NTT faculty members are required by the SOM Rules to undergo annual evaluations and must be assigned a mentor within 3 months of hire. The SOM's online performance evaluation system (PRiSM) is used by tenure-eligible and non-tenure eligible faculty alike. All SOM faculty receive annual performance ratings.
- The SOM does not limit the promotion opportunities for Instructors or Senior Instructors who have the terminal degree (usually, but not exclusively, an M.D., D.O. or Ph.D. degree).

New Initiatives
- We are working collaboratively with the Office of Advanced Practice Providers and several SOM department leaders to develop guidelines and policies to improve the recognition and promotion opportunities for Advanced Practice Providers (APPs, typically, Physician Assistants and Advanced Practice Nurses who hold Instructor titles). We have developed guidelines for promoting APPs from Instructor to Senior Instructor, and guidelines regarding the selection of APPS who should be encouraged to seek promotion to Assistant Professor. We are also working with the Office of Advanced Practice Providers to develop and share

"best practices" regarding mentorship and career development opportunities for these NTT faculty members.

- Several months ago, it was brought to our attention that faculty members in the Clinical Practice Series, including full professors, were unable to participate in the University's 5-year Phased Retirement Program, simply because they were not "tenure track." We worked collaboratively with system leadership and university legal counsel to recommend changes to the governing Administrative Policy Statement (APS). The APS has now been amended to correct this oversight, and Clinical Practice Professors in the SOM, if they are otherwise qualified, may participate fully in the Phased Retirement Program.

We are not aware of systemic problems in working conditions, resources, support or morale. While we have not conducted a school-wide survey of NTT faculty (for example, to examine salaries or to assess institutional climate or working conditions), we do include NTT faculty in all scheduled surveys of faculty satisfaction. Furthermore, NTT faculty members participate fully in our departmental reviews.

As of July 1, 2017, the total number of active SOM faculty (at rank of Instructor or above), paid by either the University or its affiliate institutions, is 3,964.

- The number of active Instructors and Sr. Instructors who hold MD, DO or PhD degrees is 522 (13% of the total number of active faculty).
- The total number of active faculty in the Research Professor series is 136.
- The total number of active faculty in the Clinical Practice Series is 74.

We are pleased to provide the following answers to the questions forwarded by the System Academic Affairs Office and the Faculty Council. The information below refers to Instructors, Senior Instructors and Research Professors; PRAs are excluded.

A. Titles, Contracts and Workloads

1. *What titles are in use for NTTF?*

The titles include: Instructors; Senior Instructors; Professional Research Assistants; (PRAs); Research Professors; and Clinical Practice Professors.

2. *Are policies and procedures in place for initiating and reviewing NTTF contracts?*

Employment contracts for tenure-eligible and NTT faculty members are handled in an identical manner. At the SOM, the letter-of-offer serves as the contract between the university and the faculty member. Their letters of offer may be revised from time to time to reflect different work assignments. If more than half of a NTT faculty member's effort is clinical service, the faculty member may receive an at-will, limited or indeterminate appointment. NTT faculty who are non-clinicians must hold at-will appointments under state law.

3. *Are workloads specified for each job title? If so, what are those workloads?*

Workloads and job assignments are not established arbitrarily for a specific job title. Rather, a faculty member's workload and assignments --- including clinical work, service,

teaching or research --- are negotiated individually at the time of hire, and they depend upon the department or division, the discipline, the talents and training of the faculty member and the needs and expectations of the department and the faculty member.

B.   Evaluation and Promotion

1.   *What policies and procedures are in place to ensure systematic evaluation of NTTF?*

Under the SOM Rules, all faculty members, including Instructors and Senior Instructors, are required to undergo annual evaluations. A similar requirement exists for faculty members in the Research Professor and Clinical Practice series. PRiSM (Performance Reviews in the School of Medicine) is used by all University-employed SOM faculty members and their departments to track annual evaluations, including performance evaluations for NTT faculty, ensuring continued compliance with the requirement for annual performance evaluations for all NTT faculty members.

2.   *How frequently are these evaluations conducted?*

Performance evaluations are required for all faculty members at least annually; according to SOM Rules, University-employed performance evaluations must be completed by March 1st of each academic year.

3.   *Are there policies and procedures for promotion within and between appropriate title categories?*

Instructors and Senior Instructors
    According to the SOM Rules, Instructors may be promoted to Senior Instructor at any time, if they demonstrate "special abilities in teaching, research or clinical service." Instructors who achieve board certification, research funding, teaching experience or clinical experience are often promoted to Assistant Professor. As noted above, we are working to codify guidelines, especially for Advanced Practice Providers holding Instructor titles.

Research Professor Series Faculty
    The SOM Rules outline a traditional academic promotion pathway for faculty in the Research Professor series. Faculty members who achieve excellence in research, based on their record of discoveries, independence, national reputation, publications and funding, may be promoted to Associate Research Professor or Research Professor. Guidelines for promotion in the Research Professor series are posted on the Office of Faculty Affairs web site (http://medschool.ucdenver.edu/faculty). Since the SOM formally adopted the Research Professor series of titles in July, 2004, 32 faculty have applied for promotion to the rank of Associate Research Professor, and 10 faculty have applied for promotion to the rank of Research Professor; of these, 97%% achieved promotion to Associate Research Professor and 90% achieved promotion to Research Professor.

Clinical Practice Series Faculty
    Since the SOM formally adopted the Clinical Practice Series on July 1, 2013, 64 faculty have applied for promotion to the rank of Associate Professor of Clinical Practice, and 21 faculty have applied for promotion to Professor of Clinical Practice; of these, 98% achieved promotion to

Associate Professor of Clinical Practice and 100% achieved promotion to Professor of Clinical Practice. The Clinical Practice Series is only available at the Associate and full Professor level.

C.   Compensation and Benefits
          1. *At what percentage of FTE are the NTT faculty holding various titles eligible for benefits?*

          All Instructors, Senior Instructors and Research Professors whose positions are .5 FTE or greater receive the full array of faculty benefits. As noted earlier, salaries are not limited arbitrarily for Instructors, Senior Instructors, Research Professors or Professors of Clinical Practice; they are established according to the faculty member's teaching, research and clinical service experience and responsibilities, in accordance with the School's BSI policies.

          2. *How are the policies and procedures related to compensation and benefits made readily accessible to NTT faculty, their supervisors and relevant staff?*

          Every letter of offer includes information about the faculty member's compensation. In addition, each letter of offer includes the following reference to benefits: *"University of Colorado benefit programs available to faculty, including health, life, retirement, and other insurance options, are described in the university benefits packet for employees. Please contact Employee Services for important information regarding your benefits and payroll. You may contact Employee Services at (303)-860-4200 or view information on the internet at: https://www.cu.edu/employee-services. You will receive information at new faculty orientation which includes a benefits presentation."*

          In addition, there is a link on the Office of Faculty Affairs web site that provides information about faculty benefits.

D.   Professional development, recognition and grievances
          1. *What opportunities and types of support are available to NTT faculty for professional development?*

          The SOM does not distinguish between tenure-track and NTT faculty members with respect to faculty development opportunities. For example, all Instructors, Senior Instructors, Research Professors and Clinical Practice Professors are invited to the annual New Faculty Career Building Workshop. All NTT faculty members receive notices about faculty development seminars, which are posted on the Faculty Development Seminar web site: (http://som-dev.uchsc.edu/faculty). NTT faculty members are eligible to attend any and all of these workshops, including those related to promotion, dossier-building, teaching, research, time management and other topics. NTT faculty members routinely receive the SOM Dean's Weekly Email and the quarterly faculty newsletter, *Faculty Matters.* And, as noted earlier, the SOM rule that mandates assignment of career mentors applies equally to MD, PhD and DO faculty members holding tenure- and non-tenure track appointments.

          2. *How are NTT faculty recognized for excellent performance? Are there awards or other public expressions of appreciation for contributions to the University's mission?*

          Although policies at the level of specific departments may differ, the SOM does not differentiate between tenure- and non-tenure track faculty when it comes to honors and awards.

3. *Are there policies and procedures for addressing grievances by NTT faculty?*

The SOM and University policies for addressing grievances do not differentiate between tenure-eligible and NTT faculty. Our NTT faculty have full access to the system-wide Privilege and Tenure Committee, the Ombuds Office, the SOM'S Office of Professionalism, the Office of Faculty Affairs and other resources.

Appendix L: Nursing Report

Section A. <u>**Titles, Contracts, and Workloads**</u>

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. What titles are in use for NTTF?

<u>Job Code</u>	<u>Job Description</u>	<u>Total</u>
1101	Professor	13
1102	Associate Professor	7
1103	Asst Professor	3
1105	Instructor	1
1202	Assoc Professor-Clinical	1
1205	Clinical Instructor	1
1211	Clinical Professor (C/T)	4
1212	Clinical Assoc Professor (C/T)	12
1213	Clinical Asst Professor (C/T)	21
1214	Clinical Senior Instrctr (C/T)	9
1215	Clinical Instructor (C/T)	6
1223	Asst Professor - Clinical Prac	6
1224	Sr Instructor - Clinical Pract	5
1225	Instructor - Clinical Practice	29
1303	Asst Professor-Research	2
1304	Research Instructor	1
1311	Research Senior Instructor	1

2. Are policies and procedures in place for initiating and reviewing NTTF contracts? If so, please summarize them.

   The *ByLaws of the General Faculty for the College of Nursing* establishes Supervisors review performance yearly and contracts are renewed based on need and performance

   The APT Committee has formalized criteria, policies, and procedures for the appointment, reappointment, and promotion of NTT faculty, which is approved by the General Faculty of the College.

3. Are workloads specified for each job title? If so, what are those workloads?

   The College of Nursing (CON) has an approved workload policy, which is consistent with University policy and which is implemented and administered by the CON Assistant and Associate Deans. It is applied consistently to all faculty and takes into account their individual focus of teaching, research/scholarship, and/or clinical practice/scholarship and service.

   Workloads are specified based on faculty track. Tenured and tenure-track faculty have a full-time workload of 15 credit hours per 12-month appointment period. NTT faculty have a full-time workload expectation of 22 credit hours per 12-

month appointment period.

Section B.   <u>Evaluation and Promotion</u>

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

    1. What policies and procedures are in place to ensure systematic evaluation of NTTF? If so, please summarize them.

        Policies and procedures relative to evaluation of NTTF are formalized, approved by the CON General Faculty and available to all on the shared network drive for the College.

        Faculty members are evaluated annually as part of the annual performance/merit review and compensation recommendation process, but timing of formal comprehensive review occur based on title (see #2 below).

    2. How frequently are these evaluations conducted?

        Instructors and Senior Instructors receive formal comprehensive review at the end of every three consecutive years of employment.

        Assistant Professors receive formal comprehensive review at the completion of the second year of the initial employment and a promotion review to Associate Professor during the seventh year of the appointment.

        Associate Professors and Professors will receive formal   comprehensive reviews every five years.

    3. Are there policies and procedures for promotion within and between appropriate title categories? If so, please summarize them.

        Yes, these policies and procedures are formalized and approved by the CON General Faculty. They are clearly delineated for each faculty rank, addressing the missions of the University and the College.

Section C.   <u>Compensation and Benefits</u>

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

    1. At what percentage of FTE are the NTTF holding various titles eligible for benefits? (The 1999 NTTF Recommendations set the goal that "Each primary unit determines what a full-time workload is for its NTTF, and that 50% workload be understood to be half of that departmentally-determined full-time load.")

        NTT faculty in the CON who hold appointments at .50 FTE (50% effort) or higher are eligible for benefits. Refer to Human Resources update (C1) for NTT faculty in

the College within each rank that are currently at .50 FTE or higher.

2. How are the policies and procedures related to compensation and benefits made readily accessible to NTTF, their supervisors, and relevant staff?

Policies and procedures relevant to compensation and benefits are made readily accessible to NTT faculty, supervisors, and staff through the campus new employee orientation sessions, and again, through faculty orientation sessions provided by Assistant and Associate Deans. The Associate Dean for Finance and Administration addresses the administrative team and faculty each year regarding Regents recommendations for raises and explains the merit/salary pool process for determining raises.

Section D.   Professional Development, Recognition, and Grievance

Please answer the following questions for each of the schools, colleges, and libraries within your campus.

1. What opportunities and types of support are available to NTTF for professional development?

All faculty, regardless of track, are eligible to apply to the CON's Research Committee for intramural seed funding for research development funds.

Upon initial hire, NTT faculty may negotiate for workload release/development time to pursue their clinical, research, and or teaching scholarship interests. Upon hire all faculty are offered faculty development opportunities regarding their teaching role.

CON Faculty Divisions receive funding in their annual budget that is available for faculty development awards.

2. How are NTTF recognized for excellent performance? For instance, are there any awards or other public expressions of appreciation for contributions to the University's mission?

NTT faculty may be nominated for the annual Dean's Award for Excellence in Teaching. NTT faculty have regularly received this award in the past several years.

3. Are there policies and procedures for addressing grievances by NTTF? If so, please summarize them.

The College of Nursing currently uses the standard University-recognized shared governance grievance procedures, which are available to all faculty. Initially, as a first-level review for CON faculty, the College Dean and the faculty member's

Assistant or Associate Dean would work together to mediate and resolve the grievance issues.

The CON developed a formal approved grievance policy and procedure for the faculty's annual performance/merit review process. The grievance policy-procedure has now been implemented and in place for performance/merit reviews since Spring of 2010.

Appendix M: Pharmacy Report

Skaggs School of Pharmacy
and Pharmaceutical Sciences
UNIVERSITY OF COLORADO
ANSCHUTZ MEDICAL CAMPUS

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To: Laura Goodwin, Ph.D.
            Associate Vice Chancellor for Academic Affairs

From: Ralph J. Altiere, Ph.D.
            Dean

Date: October 17, 2017

Subject: NTTF Report Update

In response to your request for an update on the Non-Tenure Track Faculty (NTTF) Report, the Skaggs School of Pharmacy and Pharmaceutical Sciences (SSPPS) continues to operate without substantive issues or complaints about the disparity between tenure and non-tenure tracks. As stated in our 2015 NTTF Report, SSPPS changed its approach to the delineation of tenure and non-tenure tracks. In September 2014, the Board of Regents approved changes to the SSPPS Standards and Procedures for Appointment, Reappointment, Promotion and Tenure. As a result, these changes included increasing the number of SSPPS faculty who are tenure-eligible under the new guidelines. However, our practice continues to be to allocate salary, professional development funds, space and other resources to all faculty members, regardless of tenure or tenure-track status, based on functional considerations such as distribution of effort, performance and program development. NTTF are evaluated annually with opportunities for performance based salary increases and Instructors are used only on a limited basis for teaching, such as in our non-traditional educational program, as clinical preceptors and for academic assessment purposes. In addition, NTTF are eligible for promotion, encouraged to seek out professional development opportunities with funding support as funding allows, share the same grievance process and procedures as tenure and tenure-track faculty, and receive the same benefits. As a result of these business practices, the Skaggs School of Pharmacy and Pharmaceutical Sciences continues to report no substantive issues relative to the NTTF ad hoc committee recommendations regarding the disparity between tenure and non-tenure track faculty.

Skaggs School of Pharmacy
and Pharmaceutical Sciences   **100+ years** of education, patient care & scientific discovery.

Appendix N: Public Affairs Report

Section A. Titles, Contracts and Workloads

1. **Titles in use for NTTF**: Clinical Teaching Professor Series (Assistant/Associate/Full); Research Professor Series (Assistant/Associate/Full), (Sr.) Research Associate Series, (Sr.) Professional Research Assistant Series), (Sr.) Instructor Series, Lecturer, Visiting Lecturer.

2. **Policies and procedures in place for initiating and reviewing NTTF contracts**: The School's Policies and Procedures Governing the Appointment, Promotion, and Termination of Non-Tenure-Track Faculty was initially approved by faculty in January 2009, and was revised in 2012. The revision was approved by the faculty on May 18, 2012. The CU Legal Office and the Provost approved the policy on June 13, 2012, and that document is attached. SPA's NTTF policy primarily focuses on instructors and professors in the Clinical/Teaching Track and to Research Professors, Research Associate Professors, and Research Assistant Professors (see attached policy for details).   The policy also provides that the appointment of Research Associates and Research Assistants is within the discretion of the director of the applied research center in which the Research Associate or Assistant is employed, or, in the case of those who are hired in connection with a grant awarded to a faculty member, by the faculty member (with the concurrence of the Dean). Lecturers are selected by the directors of the degree program for which they will teach a course.

   In October 2016, the faculty approved a change to SPA's "Policies and Procedures for Faculty Evaluation and Development" allowing the inclusion of a NTTF member on the Academic Personnel Committee (APC) which conducts the annual review of faculty (see excerpt below).

   > *"For the purposes of evaluating the professional performance of non-tenure track members of the faculty (NTTF), in the spring of each academic year, the NTTF shall choose among themselves one of their number to represent their interests on the APC for the upcoming academic year. The NTTF member of the APC shall have access to the electronic dossiers of other NTTF.*
   >
   > *When the APC meets at the beginning of each calendar year to evaluate their colleagues, it shall conduct a separate session to evaluate NTTF. For this session only, the NTTF representative on the APC shall join the committee in an advisory capacity for the purpose of evaluating NTTF colleagues."*

3. **Workloads for each job title:** Under the current policy, standard workloads are determined by the position, and alterations are approved by the Dean on SPA's Workload Adjustment Form, or negotiated as part of an administrative appointment in the letter of offer. As stated in our NTTF Policy, the standard

workloads are:
- Clinical Teaching appointments are 80% teaching, 10% research, and 10% service & leadership
- Research Professor appointments are 80% research, 10% teaching, and 10% service & leadership

Instructor appointments are 90% teaching, 10% service and leadership

Section B. Evaluation and Promotion

1. **Systematic evaluation of NTTF**: Policies governing the evaluation of faculty in the Clinical/Teaching track and Professor (or Associate or Assistant Professor) – Research are specified by the Policies and Procedures document attached to this report. These faculty are supervised by the Dean, who oversees their evaluation according to the criteria described by the Policy. Lecturers are evaluated by the director of the degree program for which they teach, and Research Associates are evaluated by the director of the applied-research center in which they are employed.
2. **Frequency of evaluations**: All are conducted annually except those for Lecturers, who are evaluated every three years at minimum.
3. **Policies and procedures for promotion within and between appropriate title categories**: Policies and procedures for promotion of faculty in the Clinical/Teaching track and for the professors in the Research track are specified in the attached document. Faculty in the other categories are hired for specific research projects or to teach specific courses. SPA does not have policies governing movement among these titles.

Section C. Compensation and Benefits

1. **Eligibility for benefits**: NTTF who are employed for more than 50 percent of time are eligible for and receive benefits.
2. **Access to NTTF policies and procedures related to compensation and benefits**: At present, information about these policies and procedures is distributed to NTTF, their supervisors and relevant staff via email, via a location on SPA's shared drive, and can be requested anytime from the Dean's Office.

Section D. Professional Development, Recognition and Grievance Procedures

1. **Professional development**: NTTF in the Clinical/Teaching track and the professorial ranks of the Research track write an annual professional development plan, which is reviewed by the faculty member's supervisor. The plan includes the "identification of opportunities for professional learning meeting the interests and goals of SPA and the NTTF." Lecturers are also encouraged to make use of university resources for professional development, such as the assistance of the

Center for Faculty Development, and have access to a SPA intranet site dedicated to improving teaching.

2. **Recognition of excellent performance**: Upon completion of the annual review of faculty, the SPA APC forwards recommendations to the Dean for the Excellence in Teaching award for NTTF. The Dean selects the winner to forward to the campus selection committee.

3. **Policies and procedures for addressing grievances**: NTTF in the Clinical/Teaching track and the professorial ranks of the Research track may make use of the same Policies and Procedures for Academic Grievances as are open to the Tenure-Track Faculty.

SPA NTTF Policies

SCHOOL OF PUBLIC

AFFAIRS POLICIES AND

PROCEDURES GOVERNING

THE APPOINTMENT, EVALUATION, AND PROMOTION
OF NON-TENURE TRACK FACULTY

**Adopted by resolution of
the SPA Faculty
Council January 22,
2009
Revised May 18, 2012**

This document describes the policies and procedures adopted by the School of Public Affairs, University of Colorado Denver, concerning the appointment, promotion, and termination of certain non-tenure track faculty. It also sets forth procedures for annual performance review, evaluation, and merit pay determination for these faculty members.

APPENDIX O: PUBLIC HEALTH REPORT

The Colorado School of Public Health (ColoradoSPH) was formed July 1, 2008, and this is the fifth Non-Tenure track Faculty (NTTF) report from this School. Per the NTTF list of faculty titles, ColoradoSPH has non-tenure track faculty in the following ranks and tracks: Instructors and Senior Instructors, clinical faculty (< 0.5 FTE) as well as faculty members in the research track and clinical teaching track. Within these lines all ranks are represented.

SECTION A – Titles, Contracts, and Workloads

1. **What titles are in use for NTTF?**

   Will be answered by Institutional Research (IR).

2. **Are policies and procedures in place for initiating and reviewing NTTF contracts? If so, please summarize them.**

   Will be answered by UCD Human Resources.

3. **Are workloads specified for each job title? If so, what are those workloads?**

   NTTF are an integral part of the general faculty of the School, and are equally responsible for the development, implementation, and evaluation of the School's educational, research, and community service efforts as the tenure track faculty. Expectations for teaching differ by type of appointment, and individual faculty activities may vary with discussion and approval by the Department Chair. In general, senior faculty members are expected to shoulder a larger portion of the educational and service demands of the Department and School than are junior faculty members. This is intended to protect research time during a critical period of development. NTTF are included among the voting faculty, except for unpaid/volunteer clinical faculty members. Also, faculty members with paid primary appointments at the partner institutions CSU and UNC may vote on matters pertaining to School activities only. The voting rights of the NTTF include all matters of educational, scholarly, clinical, and designated administrative issues in the School. NTTF may be asked to serve in the CU Faculty Council in accordance with existing Faculty Council policies. The expectations for the different NTTF are as follows:

   I) Instructor/Senior Instructors
   Instructor/Senior Instructors will have varying expectations depending on whether their position is primarily research, primarily teaching, or a combination of research and teaching. Expectations will be discussed between the faculty member and the Department Chair based on the position requirements. Changes to these expectations should be agreed upon by the faculty member and the Department Chair in writing.

   II) Research Track
   Research track faculty members are expected to have their primary focus on research activities. They should mentor or serve on thesis committees for a small number of graduate students and provide occasional lectures as requested, but are otherwise not to have significant teaching responsibilities. The balance of types of work will be determined on an individual basis during the appointment and/or annual evaluation process.

III) Clinical Teaching Track
Clinical teaching track faculty members are expected to devote a larger portion of their time to teaching and public health practice/clinical activity than faculty in the other tracks. This balance will vary across individuals. Faculty members in this track may also participate in research, usually in the practice setting, and must be active in scholarship. The balance of types of work will be determined on an individual basis during the appointment and/or annual evaluation process.

IV) Clinical Faculty
Clinical faculty members are expected to contribute to the School in the form of teaching and mentoring students in the graduate and/or residency programs, giving seminars and Grand Rounds and serving on committees. They may also be involved in the School's collaborative research and scholarly activities with faculty and students, health services activities, clinical and/or public health activities, and community service.

Faculty whose professional home is one of the local health and hospital organizations, such as the Denver Health and Hospital Authority (DHHA), National Jewish Health, Kaiser Permanente, or Veterans Affairs (VA) Eastern Colorado Health Care System, and who want to build and pursue an academic career at the Colorado School of Public Health, will also be given Clinical appointments. For those Clinical Faculty the following expectations apply:

> Teaching expectations:
> Faculty members are expected to contribute to the educational mission of the ColoradoSPH. Specific expectations will be discussed with the Department Chair. Examples include acting as course director or co-director, providing occasional lectures, serving as preceptor for ColoradoSPH students, including MPH students, preventive medicine/occupational medicine residents, etc., and serving on MS/PhD thesis committees.

> Research/clinical activity expectations:
> Faculty members are expected to participate in or lead research and/or clinical activities largely based at their primary institution. This includes generation of peer-reviewed grants and contracts; publication of results of scholarly activity (such as papers, books, book chapters, computer and video formats) on a continuing basis; and/or clinical activity in public health or clinical practice. It is not possible to specify the quantity of each component, which shall be agreed upon with the Department Chair.

> Leadership and service expectations:
> Faculty members at the Associate or full Professor level will be expected to contribute on Department committees as well as to serve regularly on School committees and engage in community service.

V) Expectations of Faculty Members at Partner Institutions
Faculty members from one of the partner institutions CSU and UNC with adjunct appointment in one of the School's departments will be expected to contribute at a greater level than those with secondary appointments.

SECTION B – Evaluation and Promotion

1. **What policies and procedures are in place to ensure systematic evaluation of NTTF? If so, please summarize them.**

   Except for faculty from our partner institution CSU and UNC, who will be evaluated by their home institutions, there is no differentiation made between regular NTTF, as mentioned under I-IV, and tenure track faculty in the requirements for the annual performance evaluation process:

   Annual performance reviews for faculty with a primary appointment in the school follow the School's guidelines as outlined below and the annual instructions provided by UCD Human Resources at http://www.ucdenver.edu/about/departments/HR/FormsTemplatesProcesses/Pages/PerformanceManagement.aspx . Annual performance reviews must be conducted by the Department Chair or in some cases, Center Director, and must be completed no later than March 1 of each year.

   Part-time faculty (< 0.5 FTE) with a regular primary appointment in the ColoradoSPH will be evaluated annually (as for full-time faculty) with the terms of their employment taken into consideration with respect to the quantity of activity accomplished.

   The faculty member's performance in research, teaching, public health practice/clinical activity, and service should be considered, along with the assigned workload and administrative and faculty governance service, as outlined in the Laws of the Regents (5.B.6) and as required by the University's Administrative Policy Statement, "Performance Ratings for Faculty" (APS 5008) https://www.cu.edu/policies/aps/hr/5008.pdf

   Prior to their meeting with the Department Chair or in some cases, Center Director, each faculty member prepares, in advance, a summary of the last years' activities. This includes short-term goals for the next year, and longer-term goals for the next 2-3 years, as mandated by the Rules of the Board of Regents. Content will include: goals and self-evaluation of progress during the past year; research awards submitted and received; teaching activities and student mentoring; publications; departmental development activities; consulting; service; and other activities relevant to progress. The actual evaluation or ranking, the so called "Public Record Form" together with the updated Curriculum Vitae will be kept annually in the ColoradoSPH's confidential, faculty member's personnel file. Each faculty member shall have access to the annual performance evaluation documents in his or her file.

   The annual performance evaluation will be considered in the salary setting process, reappointment, promotion and/or tenure if applicable. The Department Chair will approve all reappointments and notify the faculty member about the terms and conditions of the reappointment.

2. **How frequently are these evaluations conducted?**

   Annually

3. **Are there policies and procedures for promotion within and between appropriate title categories? If so, please summarize them.**

   Policies and procedures for promotion within and between appropriate NTTF title categories are described in the ColoradoSPH Bylaws and the ColoradoSPH Faculty Handbook. At the Instructor

level the ColoradoSPH promotion guidelines differentiate between Instructor/Sr. Instructor as a terminal position or as a career development position with or without a terminal degree.

Instructor as a Career Development Position

This category of instructor is a temporary early career development position for individuals with terminal degrees who desire to become Assistant Professors in either the tenure, research or clinical teaching track, but have not yet demonstrated readiness for consideration as an Assistant Professor. Faculty members in this category have a terminal degree or its equivalent and are working toward establishing independent research and funding if the goal is the tenure or research track. Faculty members whose goal is to build a career in the clinical teaching track are working toward establishing independent teaching and/or public health practice/clinical activity with scholarship. Faculty members are expected to remain at the rank of Instructor/Sr. Instructor no longer than two years, though exceptions for cause may occur and must be approved by the Department Chair and Dean or in some cases, Center Director. During this time, the faculty member will work with their assigned mentor to pursue their academic career goals as outlined above. Teaching will be allowed, encouraged and financially supported, dependent on the availability of funds, but is not required. Instructors may be considered for an Assistant Professor position if the department opens such a position (e.g., research track or clinical teaching track) or initiates a search (tenure track position). The decision to offer an Assistant Professor position to an Instructor should be based on the needs of the Department and School, as well as on the faculty member's future goals and demonstrated abilities, including the potential for excellence in teaching, research, or public health practice/clinical activity.

Promotion of Senior Instructors without a terminal degree

Under exceptional circumstances, faculty members at the Senior Instructor level who do not hold a terminal degree in their field may be considered for an Assistant Professor position, if the department opens such a position (e.g., research track or clinical teaching track) or initiates a search (tenure track position). Eligibility: Fulltime appointment as Senior Instructor for five years in the School. Candidates must have a Master's degree. The faculty member must be aware that once appointed to an Assistant Professor position, s/he is subject to all applicable rules of the School including the necessity to be promoted to Associate Professor within the seven year time frame.

Criteria: The Department Chair may consider either 1) "Equivalence of training" to the terminal degree, or 2) "Exceptional performance". Equivalence of training should be interpreted as demonstrated abilities and promise for achieving promotion, consistent with a person holding the terminal degree. Performance criteria for promotion are described below. Please see also Regents Policy 5.L. for Policies on Approved Faculty Titles: https://www.cu.edu/regents/Policies/Policy5L.htm

Promotion of Faculty at the Associate Professor rank and above

The review process for promotion to Associate Professor in the tenure track, clinical teaching track, and research track must begin no later than the beginning of the seventh academic year of service as Assistant Professor. This seven-year probationary period is also described as "promotion clock". Review may occur earlier should the faculty member meet the specified criteria.

The Department Chair or in some cases, Center Director, will discuss promotion guidelines and expectations at each annual evaluation with a faculty member at all ranks below Professor, regardless of track. Activities will be evaluated against the criteria for promotion in the School

Bylaws (see below) and any additional guidelines or clarifications. Applications for promotion and/or tenure are initiated by the Department Chair. With the faculty member's agreement, this recommendation will be forwarded to the Departmental Appointments, Promotions and Tenure Committee (DAPTCO).

The seven-year probationary period will be prorated based on the percentage effort of the faculty member. Formal leave taken by the faculty member will not be counted in the seven-year probationary period. Please see also "Parental and Family Medical Leave with Tenure Clock Stoppage" http://www.ucdenver.edu/faculty_staff/faculty/faculty-affairs/policies-forms/Pages/default.aspx . Faculty members who are not promoted to Associate Professor during the seventh year at the rank of Assistant Professor will be given one year's notice of non-renewal.

<u>Levels of Review:</u>
There is no differentiation made between regular NTTF, as outlined under I-IV, and tenure track faculty for the promotion process. Review occurs first within the faculty member's department. That departmental review is conducted by the Departmental Appointments, Promotions and Tenure Committee (DAPTCO). The next level of review is conducted by the school-wide Appointments, Promotions and Tenure (APT) Committee. In the case of tenure, the next level is the review by the Provost and the Chancellor, and, on the third level, by the President and the Board of Regents.

<u>Promotion Criteria:</u>

1. CLINICAL TEACHING TRACK

<u>Promotion from Assistant to Associate Professor</u>

A. **Excellence in one** of the following:		B. **Meritorious in two** of the following, including the one indicated as Excellent in A.
Teaching	**and**	Teaching
Public Health Practice/ Clinical Activity		Public Health Practice/ Clinical Activity
		Service
		Research

<u>Promotion from Associate to Full Professor</u>

A. **Excellence and Scholarship in one** of the following:		B. **Meritorious in two** of the following, including the one indicated as Excellent in A.
Teaching	**and**	Teaching
Public Health Practice/ Clinical Activity		Public Health Practice / Clinical Activity
		Service
		Research

2. RESEARCH TRACK

Promotion from Assistant to Associate Professor

Excellence in:		**Meritorious in one** of the following:
Research	**and**	Service
		Public Health Practice/Clinical Activity
		Teaching

Promotion from Associate to Full Professor

Excellence and Scholarship in:		**Meritorious in one** of the following:
Research	**and**	Service
		Public Health Practice/Clinical Activity
		Teaching

3. CLINICAL FACULTY

Promotion from Clinical Assistant to Clinical Associate Professor
Promotion from Clinical Assistant to Clinical Associate Professor requires that the faculty member meet the criteria for Associate Professor described in the CSPH Bylaws (E.5.d. Types of Appointments. Clinical Associate Professor). The faculty member whose contributions merit consideration for appointment or promotion to the rank of Clinical Associate Professor must show substantial ongoing contributions to the department. Contributions include but are not limited to teaching, serving on committees and as a research mentor, giving seminars and Grand Rounds, and taking an active role on departmental committees and meetings. Collaborative research/scholarly activity with departmental faculty and/or students, health services administrative activity, public health practice/clinical activity and community service will be considered. The faculty record, taken as a whole, must demonstrate success in the above mentioned areas.

SECTION C – Compensation and Benefits

1. **At what percentage of FTE are the NTTF holding various titles eligible for benefits? (The 1999 NTTF Recommendations set the goal that "Each primary unit determines what a full-time workload is for its NTTF, and that 50% workload be understood to be half of that departmentally-determined full-time load.")**
   Answered by Human Resources

2. **How are the policies and procedures related to compensation and benefits made readily accessible to NTTF, their supervisors, and relevant staff?**

   Policies and procedures related to compensation and benefits are readily accessible to NTTF, their supervisors, and relevant staff, through the relevant chapters of the University's Faculty Handbook at https://www.cu.edu/office-academic-affairs/compensation-and-leave. Benefits information is also provided to NTTF per the letter of offer upon hire and, if applicable, during orientation at the time of hire. The ColoradoSPH Associate Dean for Finance, the Director of Human Resources, and the Payroll Manager are knowledgeable in their areas and are available to answer questions and/or refer questions to the appropriate University System person.

Section D – Professional Development, Recognition, and Grievance

1. **What opportunities and types of support are available to NTTF for professional development?**

   Each faculty member at the rank of Instructor or Assistant Professor, regardless of the track, will be assigned a mentor at the time of initial appointment. This person (or combination of persons) is responsible for providing feedback to the faculty member about academic and career development. Mentors should be senior faculty members who are not responsible for the evaluation of the progress of the faculty member (e.g. Department Chair). The mentor is expected to consult with the Department Chair on a regular and ad hoc basis, together with the faculty member, about progress toward promotion.

   All faculty, including NTTF, are invited to attend regular Promotion 101/Q&A sessions by the Associate Dean for Faculty to learn about procedures for promotion in the ColoradoSPH.

   In addition, NTTF at all levels are invited to participate in on-going faculty development training, seminars and workshops. Specifically, in January 2017, the Colorado School of Public Health offered two workshop sessions for senior and for junior faculty on "Building Effective Mentoring Relationships" presented by Dr. Dennis Durbin, Professor and Chief Clinical Research Officer at the Children's Hospital of Philadelphia Research Institute. In the academic year 2016-2017, the Office of Faculty Affairs in collaboration with the departments has also offered financial assistance for junior faculty and their mentors to participate in the Colorado Mentoring Training Program as provided by the Colorado Clinical and Translational Sciences Institute (CCTSI).

2. **How are NTTF recognized for excellent performance? For instance, are there any awards or other public expressions of appreciation for contributions to the University's mission?**

   With four different awards the ColoradoSPH recognize TT and regular NTTF for excellent performance:
   - Faculty Excellence in Teaching - which is voted on by ColoradoSPH students
   - Excellence in Faculty Research - for outstanding commitment in research, grant award and publications
   - Faculty Excellence in Student-Mentored Research
   - Faculty Excellence in Mentoring & Advising - for outstanding contributions to student learning and development

In addition, NTTF are eligible to be nominated for the following awards at the University level:

- President's Excellence in Teaching Award
- Chancellor's Teaching Recognition Award

3. Are there policies and procedures for addressing grievances by NTTF? If so, please summarize them.

According to the ColoradoSPH Bylaws, the grievance policy for NTTF related to annual evaluation results and salary increases is the same as for tenured and tenure track faculty members: a grievance committee consisting of 3 senior faculty members from the department will be formed to review the rationale for the annual evaluation results or salary decision. This committee shall advise the Dean on the issue. The Dean's decision is final and cannot be appealed.