

HDNR CODE

DEPARTMENT OF HUMAN DIMENSIONS OF NATURAL RESOURCES

Warner College of Natural Resources
Colorado State University
Approved by HDNR Faculty – 04/19/2019

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ARTICLE I. GOAL AND OBJECTIVES

A. DEPARTMENT MISSION

The mission of the Department of Human Dimensions of Natural Resources is to contribute to the conservation, stewardship and enjoyment of natural and cultural resources and the management of those resources in a way that produces both land health and sustainable human benefits. Our focus is on strengthening the human dimensions of natural resource management and integrating the social sciences with biophysical elements of management. Our efforts are directed locally, nationally and internationally, across a landscape that includes and integrates across public and private lands and resources. To that end, the department views the following resolutions as key components of its mission within a program of instruction, research, extension/outreach, and engagement:

- Foster activities and programs that contribute to the health of local, national, and international economies in a socially and environmentally responsible manner,
- Conduct scientific inquiry which helps to better understand and predict human thought and action toward the natural environment,
- Contribute to the planning and management of human activities and resources in parks, protected areas and other natural environments ranging from urban open space to wilderness,
- Contribute to the general public awareness, understanding and appreciation of natural resources,
- Promote and facilitate natural resources policy and decision making that is responsive to public values and which encourages direct and informed public access to the natural resource decision process,
- Contribute to the effectiveness of the techniques and procedures used for environmental communication, facilitation, and dispute resolution in a time of increasing societal demands on a limited resource base,
- Contribute to the understanding and effectiveness of leadership and collaborative efforts to address society's environmental sustainability challenges.

To fulfill this mission, the Department focuses instructional efforts on preparing graduate and undergraduate students to be leaders in the human aspects of conservation, tourism and commercial recreation, global tourism, environmental communication, and the human component of natural resource decision-making. The Department conducts basic science that focuses on understanding human interaction with natural environments and conducts applied research that demonstrates how behavioral research can improve management and decision-making. The Department represents a breadth of social science disciplines and complements the College's biophysical perspective by focusing on how human values, beliefs, attitudes and behaviors affect and are affected by natural resources and its management and decision-making.

The faculty of the Department of Human Dimensions of Natural Resources are dedicated to excellence as scientists and teachers. The Department, through the actions of its faculty, staff, students and alumni strive toward leadership, locally, nationally, and internationally, in the sustainable stewardship of natural resources and livelihoods.

B. DEPARTMENT OBJECTIVES

To meet its mission, the Department of Human Dimensions of Natural Resources focuses on the following objectives. The Department of HDNR strives to...

1. Develop and maintain a program of instruction that recognizes current and future needs for knowledge in the subject areas that are elements of the total Department program and to develop excellence in transmitting this knowledge to graduate and undergraduate students.
2. Develop and maintain a program of basic and applied research directed toward the acquisition of new knowledge and problem solutions applicable to present and future societal needs. Maintain leadership and excellence in the human dimensions of natural resource management.
3. Provide planned informal education programs to disseminate knowledge and research results and respond to opportunities to provide service to natural resource managers and the public within Colorado, nationally and internationally.
4. Develop and maintain appropriate outreach and training opportunities for individuals not in residence at the University.
5. Use faculty knowledge, skills and experience to serve the University community and the private, public and nonprofit sectors within the state, national and international communities.

C. DEPARTMENT PLAN

Specific programs and activities to achieve the goals and objectives of the Department are articulated in the Department's Strategic Plan. This document highlights priorities and is integrated into the College and University Strategic Plans.

ARTICLE II. ADMINISTRATION

A. ADMINISTRATIVE OFFICER

1. The Department Head is the administrative officer of the Department. Their duties, the manner of selection, appointment, term of office and evaluations are specified in the Academic Faculty and Administrative Professional Manual. Additional duties are specified in this Department Code.

2. It is the responsibility of the Department Head, with counsel of faculty, to formulate and implement strategies, policies, and procedures to accomplish Department goals and objectives, and to effectuate efficient operation of the Department.
3. The Department Head may appoint an Assistant Department Head who will serve as administrative officer during absences of the Department Head and perform other duties as assigned by the Department Head during such absences. If there is no Assistant Department Head, an acting Department Head will be selected on an annual basis by majority vote of the Department faculty. If both are absent, a temporary acting Department Head may be appointed by the Department Head.

B. DEPARTMENT ORGANIZATION

The Department Head may create standing committees and *ad hoc* committees as deemed necessary for the efficient functioning of the Department. Recommendations of committees must be approved by the Department faculty prior to implementation.

1. Department Standing Committees:

a. Undergraduate Program Committee

The Undergraduate Program Committee will consist of the Department Concentration Leaders. Additional faculty may be added by faculty vote. Concentration Leaders are appointed by the Department Head. The Undergraduate Program Committee has the following duties:

- i. maintain communications between undergraduate students and faculty,
- ii. review and approve curriculum changes,
- iii. recommend curricular changes to enhance the quality of undergraduate experience to Department faculty,
- iv. review and update majors and concentrations, with the Concentration or Major Leader, at least every three years,
- v. serve as a decision-making body for undergraduate student grievances.

b. Graduate Program Committees

The Department Head will annually appoint a chair of the traditional Graduate program, a Conservation Leadership through Learning director and a Master of Tourism Management academic director. These three positions will comprise the Graduate Program Committee. The Department Head will appoint additional faculty members, as needed, to serve on this committee. The committee has the following duties:

- i. recommend policies and procedures regarding the Department's graduate programs. These will be codified and made available to Department faculty and graduate students in the *Graduate Student Handbook*,
- ii. serve as a liaison between graduate students and faculty,
- iii. review and advise graduate curriculum changes,
- iv. recommend changes to enhance the quality of the graduate experience to Department faculty,
- v. review the graduate program at least every three years,
- vi. serve as a decision-making body for formal graduate student grievances.

c. Tenured and Tenure Track Promotion Committee

The Tenured and Tenure Track Promotion Committee will consist of all tenured Department faculty of higher rank than the tenured or tenure-track faculty member under consideration. The Department Head will be an ex-officio member of this committee. The Committee has the following duties:

- i. provide counsel regarding tenure and promotion to tenured and tenure-track faculty upon request,
- ii. respond to policy or process questions of concern to tenured and tenure-track faculty,
- iii. assure that University and College policies and procedures are followed in tenure and promotion decisions,
- iv. provide annual written critique on tenure-track faculty progress toward tenure by November 1st of that year,
- v. fulfill responsibilities prescribed by University, College and Department Code in evaluating tenure and tenure-track faculty for tenure and promotion.

d. Non Tenure-Track Promotion Committee

The Non Tenure-Track Promotion Committee will consist of all Department faculty of higher rank than the faculty member under consideration. If there are no non tenure-track faculty above the rank of the faculty member being considered, then the committee will reach out to other departments at the university to ensure there is at least one non tenure-track faculty member sitting on the committee. The department head, college dean, Provost, and President are not eligible to serve on this promotion committee and shall not be present during the committee's deliberations, except when specifically invited by the committee. A faculty member holding an administrative appointment (as defined in Section K.11.2) of more than half time (0.5) is not eligible to serve on the promotion

committee. If a faculty member holding an administrative appointment does serve on the promotion committee, it is expected that they will not participate in discussions of the case at higher administrative levels. A faculty member with a conflict of interest is expected to recuse oneself.

This committee will be responsible for the following duties:

- i. provide counsel to non tenure-track faculty regarding promotion upon request,
- ii. respond to policy or process questions of concern to non tenure-track faculty regarding promotion,
- iii. assure that University and College policies and procedures are followed in promotion decisions,
- iv. provide annual written critique on non tenure-track faculty progress toward promotion by November 1st of that year,
- v. fulfill responsibilities prescribed by University, College and Department Code in evaluating non tenure-track faculty for promotion,
- vi. submit a written recommendation to Department Head in support or opposition of an application for promotion of non tenure-track faculty.

2. Ad Hoc Committees

The Department Head may appoint *ad hoc* committees to address specific problems or issues within a specified time frame. These committees will be discharged by the Department Head after completion of their efforts.

3. Representation on College Standing Committees

Department representatives to College Standing Committees will be elected to annual terms by the faculty.

C. DEPARTMENT MEETINGS

1. A general meeting of Department faculty and staff will be scheduled prior to the beginning of the academic year. The agenda for this meeting will be dedicated to general department planning and preparation for annual activities to accommodate Department goals and objectives. Additional general meetings may be called.
2. Meetings of the faculty and staff to conduct Department business will be scheduled as needed during the academic year. An agenda will be prepared for each of these meetings.
3. Any faculty or staff member may call a meeting for resolution of issues.

4. The Department Head or their designee will chair department faculty meetings and the annual general meeting. These meetings will be conducted in accordance with *Robert's Rules of Order*.

All tenured and tenure-track faculty, with the exception of those below a one-half effort allocation within the Department, will be eligible to vote on all Department issues brought before the faculty. Non-tenure track faculty, with the exception of adjunct faculty and those below a one-half effort allocation within the Department, will be eligible to vote on Department issues brought before the faculty, with the exception of those pertaining to tenure.

5. A quorum will consist of one more than 50% of the eligible voting faculty of the Department not on leave (e.g., sabbatical).
6. All questions or issues before the Department faculty will be decided by a majority vote of faculty present at the meeting, with the exception of changes to the Department Code, which will require a two-thirds vote of all eligible faculty. Proxies or written vote may be accepted for absent faculty.

D. SELF-EVALUATION OF DEPARTMENT OPERATIONS

1. The Department will utilize the Colorado State University process for ongoing self-evaluations and will conduct an Academic Program Review every six years.
2. This evaluation process will be complimented by periodic surveys of recent graduates, and internal discussions each fall at the Department retreat or pre-semester meetings.

ARTICLE III. FACULTY

A. DEFINING FACULTY

Six (6) basic types of appointments exist for members of the faculty. They are tenured faculty, tenure-track faculty, contract faculty, continuing faculty, adjunct faculty, and faculty on transitional appointments. The Department defines these six appointments in accordance with section E.2.1 of the Colorado State University Academic Faculty and Administrative Professional Manual. All appointments may be part-time or full-time in nature.

For the six types of faculty appointment, there are six academic ranks available (Professor, Associate Professor, Assistant Professor, Master Instructor, Senior Instructor, Instructor). These are organized into two tracks: Professor Track (Professor, Associate Professor, Assistant Professor), and the Instructor Track (Master Instructor, Senior Instructor, Instructor). A Ph.D is required for a faculty member to be on the Professor Track. Those faculty without a Ph.D will be on the Instructor Track. If a faculty member completes a Ph.D, they are eligible to move to the Professor Track. Guidelines for promotion through the various ranks for each track are outlined in section G.

For any contract or continuing faculty who are on the Professor Track, the following alternate titles are to be used in conjunction with the appropriate rank. The relevant title shall be determined by their effort allocation as follows:

- Assistant/Associate/Full Professor of Practice (if 29% or less of their appointment is research)
- Assistant/Associate/Full Professor (if 30-65% of their appointment is research)
- Assistant/Associate/Full Professor of Research (if 66% or higher of their appointment is research)

Individuals may be formally designated as faculty affiliates who may be instrumental in assisting the Department to achieve its goals and objectives. To become a faculty affiliate a person must be nominated by a faculty member. The nominee's vita will be circulated among faculty with adequate time for review. Faculty affiliate status will be granted with a majority vote. Appointments will be made in conformance with Section E.5.3 of the Colorado State University Academic Faculty and Administrative Professional Manual.

B. FACULTY RESPONSIBILITIES

Department faculty will conform to the duties and responsibilities established in Section D of the University Code.

1. In cases where faculty are delivering a credit-bearing course to students whose native language is not English and the students have not met English TOEFL language requirements, the faculty member in charge of the course must speak the student's native language fluently and lectures must be delivered in that native language. This does not prevent guest lectures that are delivered in English and are translated, but this must be supplemental to the core of required subject matter that is delivered in the student's native language.
2. Effort Distribution for Faculty
 - a. Effort distribution between teaching, research and outreach will be detailed initially in the faculty member's appointment letter. Effort distribution is re-evaluated annually, and as appropriate, revised based on circumstances of individual faculty. Changes to effort distribution are made collaboratively between the faculty member and Department Head and will be recorded in writing. The Tenured and Tenure-Track Promotion Committee and the Non Tenure-Track Promotion Committee, and external reviewers of Tenure applications, will be apprised of a faculty member's annual effort distribution.
 - b. Effort should reflect actual workload expectations. The workload distribution for tenured and tenure-track faculty members in the Department is typically:
 - i. 50% teaching and advising undergraduate / graduate students, independent study courses, and undergraduate Honor's Theses,
 - ii. 40% research,

- iii. 10% service, which may include participation on University, College, and Departmental committees, professional outreach, and community service.
- c. The workload distribution for a non-tenure track faculty member in the Department is typically:
 - i. 80% teaching and advising,
 - ii. 10% research,
 - iii. 10% service, which may include participation on University, College, and Departmental committees, professional outreach, and community service.

As a reference, one three-credit course is considered 10% effort distribution. For teaching, in addition to course instruction, teaching activity can include student recruitment, internship coordination, academic program coordination, curricular oversight, and mentoring of students.

Typically, the Department head and faculty member will collaborate on the number of classes being taught and amount of effort distribution annually.

C. SELECTION AND APPOINTMENT OF NEW OR REPLACEMENT FACULTY

1. New or replacement faculty appointments will be conducted in accordance with the University Equal Opportunity / Affirmative Action policies and procedures.
2. In the case where an external search is convened, the Department Head will appoint a committee of not less than three faculty from the Department to conduct a search and review of applications. The Department faculty will meet short-listed candidates through conference and / or seminar and will have opportunity to make recommendations to the Department Head. The Department Head will consult with Department faculty and appropriate College and University administrators before making a final selection from the candidate(s) recommended by the committee.

D. PROCEDURES FOR APPOINTING FACULTY TO GRADUATE STUDENT ADVISORY COMMITTEES

1. While graduate students are primarily responsible for choosing an advisor, faculty with the proportionate research allocation must be willing to accept a student and to guide them in the selection of other committee members. In accordance with the Graduate School, for the master's degree, a committee must have a minimum of three members with one being from outside the Department. For the doctoral degree, committees will have a minimum of four members with at least one outside member.

2. Only full-time faculty on the Professor Track may serve as chair of a graduate student's committee, in accordance with requirements outlined by the Graduate School. Faculty who are on the Instructor Track may serve as voting members on a graduate student's committee, but may not serve as chair. Individuals with Post-Doctoral appointments are not eligible to serve as chair or a voting committee member of a graduate student's committee, but they can serve as a non-voting committee member. It is generally expected that faculty serving as chairs and committee members have the commensurate research experience that warrants their role. Exceptions to this general rule may occur by unanimous vote of the tenured and tenure-track faculty.
3. When circumstances arise that lead to (1) a student choosing to remove a faculty member as their chair or (2) a faculty member voluntarily removes themselves as a chair, the Department Head will be responsible for selecting replacement or other provisions will be made.
4. These and other graduate program policies, including both faculty and student responsibilities, are outlined in the Department's masters and doctoral *Graduate Student Handbooks*. These handbooks will be provided to all graduate students at the beginning of their program.

E ANNUAL FACULTY PERFORMANCE EVALUATIONS

1. The Department Head will meet with each faculty member during the Spring semester for performance evaluation of the preceding year and to establish performance expectations/responsibilities for the current year. Productivity will be measured against department standards current at the time of review.
2. The Department Head will keep a written record of items considered in the performance evaluation of each faculty and staff member. Each faculty and staff member will have the right to review their record and to request modification if they believe the record is incorrect or incomplete. A copy of the evaluation will be given to the faculty or staff member.
3. If a faculty or staff member disagrees with their evaluation, they have the right to challenge the evaluation through established University grievance procedures.

F. TENURE AND TENURE-TRACK PROCESS FOR FACULTY

Below is an outline of the various steps and milestones required as part of the tenure-track process for faculty. The tenure track process will be consistent with policies and procedures established by the College and by the Faculty and Administrative Professional Manual. Faculty applying for tenure must utilize current guidelines and documentation procedures from the Provost Office. The required forms are on the Provost's website:

www.provost.colostate.edu/print/p&tapp.doc

All tenure documents must be submitted to the chair of the Tenure committee by June 1 in the year the person is to be reviewed, or the documents will not be reviewed in that year.

1. Plan for Guiding Tenure-Track Faculty

- a. Given the variety of effort distributions that exists, the strategies for evaluating progress toward tenure will be individualized for each faculty member. The formal steps in this process include:
 - b. At the time of appointment, the Department Head will help the tenure-track faculty member select a mentoring committee to assist in navigating the process of tenure. The mentoring committee will consist of 2 to 3 tenured faculty members from within the Department.
 - c. The Tenure committee and the tenure-track faculty member will work together as needed and can assist in:
 - Identifying clear strategies for achieving excellence in teaching, research and service/outreach
 - Setting targets for reaching teaching, research and service/outreach goals
 - Identifying resources that will be made available to achieve those goals
 - Outlining an evaluation strategy
 - d. The tenure-track faculty member, along with assistance from the Tenure committee, will prepare an annual summary on their progress in the areas of teaching, research, and service/outreach that is presented to the tenured faculty (see Faculty and Administrative Professional Manual, Section E.10.3.a). The tenured faculty will vote on whether the person is making “appropriate progress in meeting Departmental expectations to date.” The comments made during the meeting will be captured in the summary memo and the results of the vote will be included in the report. The vote is intended to communicate the tenured faculty’s assessment of progress toward tenure, and voice any concerns.

2. Standards and expectations for tenure-track faculty

- a. Evidence of sustained research productivity will be based on the number and quality of research publications (specific expectations are noted in the sections to follow) generated by the candidate each year across the entire probationary period. The following criteria will be used as department standards to evaluate refereed publications:
 - b. Substantial contribution is expected to refereed publications during the five years preceding application for tenure in proportion to research workload distributions. Examples of substantial contribution include, but are not limited to, the following:
 - c. The faculty member is lead or co-lead author on the paper
 - d. The faculty member is collaborating with a graduate or undergraduate student(s), and the student(s) is listed as first author

- e. The faculty member is part of a collaborative or interdisciplinary research team, and the faculty member makes a substantial contribution to a paper with multiple authors. The faculty member should clearly explain their contribution and it is recommended that they indicate their contribution using standard journal designations, such as: designed research, performed research, analyzed data, wrote the paper, and funded the research.
- f. Typically, the criteria for minimum research activity for a tenure-track faculty member with a 40% research workload distribution is to contribute substantially to approximately 10-12 publications during the five years leading to submission of the application for tenure. However, a lower number of exceptionally high quality papers may also meet the criteria for minimum research activity (see section H for department expectations/standards of quality).
- g. Tenure-track faculty with a higher teaching workload position and a lower research workload position are expected to contribute proportionately to the baseline number of substantial contribution papers listed above. An exception to the *sustained productivity* clause will be made for Assistant Professors with a higher teaching workload position and a lower research workload position. This exception allows the first required publication for sustained productivity to occur by the end of the 12-month to 18-month timeframe
- h. For excellence in teaching, a reviewer will evaluate the tenure-track faculty member's progress toward tenure using the criteria in the faculty member's plan. This evaluation will occur after the candidate's third year. An additional review by the same reviewer, if possible, may occur if the candidate, Tenure committee and Department Head deem the evaluation would facilitate a favorable tenure decision.

3. Mid-Tenure Comprehensive Review of Tenure-Track Faculty

A comprehensive performance review of tenure track faculty will be conducted at the midpoint of their probationary period at Colorado State University.

- a. This review will be conducted by the Tenure Committee. The Department Head will not be a member of this committee.
- b. Procedures for this review will be consistent with policies and procedures established by the College and by the University Code. Faculty applying for the comprehensive review must utilize current deadlines, guidelines, and documentation procedures for tenure from the Provost Office.
- c. It is the applicant's responsibility to develop and maintain a portfolio that substantiates excellence in research, teaching and professional service. Excellence will be expected of all faculty regardless of whether an appointment is a part-time or full-time, nine-month position.
- d. Evidence of *sustained* productivity in teaching, research, and service over the entire probationary period will be used during the tenure evaluation process. Evidence on

sustained teaching and service will be based on the candidate's annual productivity in these areas across the entire probationary period.

- e. The Tenure Committee will use the information submitted by faculty as the basis for review. Reviews of performance will be based on the faculty member's productivity in relation to effort distribution in each of the areas of responsibility (research, teaching and/or professional service). Productivity will be measured against Department standards current at time of review.
- f. Committee recommendations will be determined by a vote of all members. Approval requires a roll call majority vote. Minority opinions can be appended to the majority committee recommendations.
- g. Upon completion of the review, a written summary of the conclusions and recommendations reached by the tenured faculty will be provided to the faculty member, the Department Head, the Dean, and the Provost/Academic Vice President. The report will include one of the following possible outcomes:
 - 1. the faculty member is making satisfactory progress toward tenure, and sustained progress may result in a favorable recommendation from the Department;
 - 2. there are deficiencies that, if satisfactorily corrected, may lead to a favorable recommendation for tenure, or;
 - 3. the faculty member has not met the stated requirements for the position in one or more areas of responsibility, and the tenure committee recommends against further renewal.
- h. The report will also include any written comments provided by the Department Head, Dean, and Provost/Academic Vice President, as well as the faculty member.
- i. The mid-tenure comprehensive review will be maintained in the faculty member's personal file.
- j. A final comprehensive performance review is required prior to recommendations concerning tenure (see Section E10.4 of the Faculty Manual).

4. Evaluation Process for Tenure Track Faculty

- a. Only tenured faculty can vote on tenure-track decisions.
- b. Tenure recommendations within the department will be made by a Tenure Committee consisting of at least three eligible faculty members. If a committee of at least three tenured faculty of higher rank cannot be constituted, the committee will include other qualifying faculty selected from the College of Natural of Natural Resources and / or Colorado State University. The outside committee member(s) will serve as a full member of the Committee with voting privileges. Selection of this (these) outside individual(s) will be based on their ability to help in assessing the excellence of the applicant's performance in teaching, research, and/or service. Selection of the outside committee member(s) will be determined by all full professors in the Department.
- c. When a member of the Tenure committee believes there may be a conflict of interest situation in a forthcoming tenure vote, the Committee may, by a majority vote, excuse a member from deliberation and voting in this situation.
- d. Separate recommendations from the Department's Tenure committee and Department Head will be forwarded to the College Executive Committee who will advise the Dean. The College Dean will subsequently make recommendation to the Provost. The Tenure

committee will assess productivity using Department standards available at the time of review.

- e. Final authority for the granting of tenure lies with the Board of Governors of the Colorado's State University System, which has been delegated to the President of the University. Nothing is final until the President acts.
- f. If the Dean and/or Department Head disagree with the committee, there should be compelling reasons and those should be documented in writing. All responses must be copied to the faculty member.
- g. Generally annual evaluations and mid-probationary reviews should show consistency with the tenure evaluation. The annual evaluations and mid-probationary reviews should be included in the portfolio.

5. Time in Service, Prior Service and Early Cases for Tenure

- a. The time in rank for a tenure-track faculty member may be reduced by an amount of prior service, provided this is described in the offer letter. If prior service is spelled out in the offer letter, then utilization of this prior service means that the case is not classified as "early." Utilization of prior service requires mutual approval of the faculty member, the Department Head, and the Dean, indicated by signature, at the time of application for tenure and prior service must be explicitly stated on the cover page of the portfolio. The candidate always has the option to utilize the full six-year probationary period, even with prior service documented in the offer letter.
- b. The normal period of service before consideration for tenure is five completed academic years. Tenure is granted at the end of the sixth academic year.
- c. Cases can be considered early, although this will not be common. Early cases are held to higher standards than regular cases; simply meeting the usual standard is not enough. For any early case, there should not be any concern or doubt about performance in areas of responsibility. In particular, this means that no part of the application can rest upon unpublished work.
 - A case that is considered one year early must provide convincing documentation that the individual is truly *exceptional* in all areas of performance. For a case to be considered two years early, the national/international reputation of the individual must be clearly in the uppermost percentile of academic achievements. The faculty member will have established an exceptional national/international reputation with ample evidence to support the claim, including publication record, relevance of work (citations, major applications of research findings, etc.), letters of support from leaders in the field, etc.
 - If any case is being brought forward more than one year early, the Dean and Department Head must present to the Provost convincing prima facie evidence of its merit before beginning the process.

6. External Letters for Tenure

- a. Every tenure decision requires the formal input of outside evaluators. External letters must be collected from similar kinds of institutions, and the people writing those letters should not be closely connected to the candidate. A plan for selecting external

reviewers will be prepared in advance and should not select only the names recommended by candidates.

- b. Any number of letters may be provided as part of the portfolio, but they must include a minimum of five letters with the following properties:
 - i. The letter writer should not be a thesis advisor, member of graduate committee, teacher, or mentor of the candidate.
 - ii. The letter writer should be employed at a peer or aspirant university, or at a research institute or laboratory, or agencies or non-government organizations
 - iii. The letter writer should have experience at or above the rank aspired to by the candidate.
 - iv. At least half of the letter writers should be chosen by the Department Head or Department Tenure Committee rather than the candidate.
- c. External reference letters are considered confidential to the candidate and are not part of the personnel file. These letters must be kept in a separate confidential file.
- d. Reviewers will be asked to provide a written critique on the quality of performance and contribution of scholarship in the areas of excellence.

7. Periodic Comprehensive Performance Reviews of Tenured Faculty

- a. Phase I comprehensive reviews of tenured faculty will occur at intervals five years following the acquisition of tenure or if there are two unsatisfactory annual reviews during a five-year review period.
- b. Faculty will be responsible for providing the following materials for Phase I reviews including an updated curriculum vitae, a self-analysis by the faculty member, and a statement of goals and objectives. In addition, annual review records will be used in the evaluation.
- c. Deadlines for submitting Phase I review materials will be the same as deadlines established for submitting tenure materials.
- d. The Department Head will evaluate Phase I materials to determine an overall assessment of performance. Productivity will be measured against Department standards current at the time of review. The evaluation will identify strengths and deficiencies in the faculty member's performance. One of three assessments is possible; satisfactory performance, satisfactory but with deficiencies that require attention, and unsatisfactory. An assessment of satisfactory with deficiencies will require preparation of a professional development plan (per Section E.14.3 of the Faculty Manual). An assessment of unsatisfactory will result in a Phase II evaluation. The Phase II evaluation would be initiated immediately upon delivery of an unsatisfactory rating.
- e. Phase II evaluations will be conducted by the Department's Tenure Committee. If the Committee numbers fewer than three faculty, the Department Head with the available Tenure Committee members, will select a sufficient number of other Tenured faculty

members at Colorado State University to raise the number of committee members to three.

- f. Phase II procedures for evaluating faculty will be the same as procedures used in reviews of tenure. Faculty will have one month following an unsatisfactory assessment to submit the appropriate evaluation materials. The committee will follow existing procedures for soliciting external reviews.
- g. Criteria used for evaluating faculty will be the same as those used in tenure evaluation. Faculty will be evaluated only on their performance during the interval since the last comprehensive or tenure review.
- h. Possible conclusions of the Committee Evaluation are described in E.14.3.2 of the Faculty Manual.

8. Department Expectations and Standards / Guidelines for Tenured Professor

Section E.13 of the Colorado State University Academic Faculty and Administrative Professional Manual provides some general guidelines for the advancement in rank to full professor for tenured faculty. Typically, the criteria for minimum research activity for an associate professor with a 40% research workload distribution is to contribute substantially to approximately 30-40 publications during the years leading to submission of the application for promotion to full profession. However, a lower number of exceptionally high quality papers may also meet the criteria for minimum research activity (see below for example metrics of quality).

Associate Professors with a higher teaching workload position and a lower research workload position are expected to contribute proportionately to the baseline number of substantial contribution papers listed above. An exception to the *sustained productivity* clause will be made for Associate Professors with a higher teaching workload position and a lower research workload position.

In addition to the outlined department expectations and promotion requirements outlined in Section G of this code and department expectations for faculty excellence in research, teaching, and service outlined in Section H of this code, the following are also required for tenured professors.

- a. An acknowledged stature and leadership role of the candidate's contribution to the field. External recognition of such stature is evident when other scholars/teachers adopt and apply the concepts and / or methods advanced.
- b. Promotion or facilitation of research opportunities for others in the Department, College, or University. This can be demonstrated by making significant contributions as a member of a productive disciplinary or interdisciplinary research group that has produced publications or products. Successful administration of a disciplinary or interdisciplinary research group may also demonstrate fulfillment of this expectation.
- c. National / International Reputation. HDNR expects candidates for promotion to full tenured professor to be nationally / internationally recognized. Evidence of a *national* reputation can be demonstrated by:
 - i. Receipt of honors and awards outside of the university

- ii. Participation on professional conference organization
- iii. Editorial duties for scholarly journals (e.g., Editor-in-Chief, Guest Editor, Associate Editor)
- iv. Serving in positions of leadership in professional societies
- v. Appointment or election to professional and/or honorary societies
- vi. Evidence of an *international* reputation can also be demonstrated in a variety of ways:
 - a) Invitations to participate in international symposia
 - b) Publication in journals that draw on scholarship worldwide
 - c) Co-authoring with colleagues outside the U.S.
 - d) Funded projects with international partners
 - e) Letters from well-known scholars outside the U.S.
 - f) Other documented international impact.
- d. Acquisition of funds from sources external to the department. A consistent on-going record is expected in acquiring external resources from multiple sources. These efforts should have resulted in the support of at least one graduate student (or post doc) a year on a consistent basis and support money to carry out research projects.
- e. Establishment and effective mentoring of a cadre of graduate students. Indicators of mentoring excellence include:
 - i. The graduation of a minimum of 10-12 graduate student advisees, with a representation of both master's and doctoral candidates.
 - ii. Evidence of joint publications or presentations with current and former advisees.
 - iii. The career placement of advisees (e.g., number of former advisees with positions in universities, public and private organizations, government, NGOs, etc.).
 - iv. Guiding graduate students in other departments, colleges and / or universities.
- f. Internal Service refers to:
 - i. Serving on a minimum of one major University level committee (e.g., Faculty Senate).
 - ii. A leadership role on multiple Department and College level committees.

- g. External Service refers to responsively serving the needs of constituents’ external to the university. This may be exemplified by publications in popular magazines, textbooks, technical publications, or contract reports; by presentations and workshops to professional constituent or general citizen groups; or similar activities. It does not include service to a community in a citizen, rather than in a professional, role. For example, personal (as opposed to professional) involvement with political, commercial, religious, or non-profit institutions is not relevant to the evaluation of service performance.
- h. Professional Integrity and Responsibility is exemplified by:
 - i. Showing respect for colleagues and this respect being reciprocated.
 - ii. Professional conduct conducive to a collegial work environment.
 - iii. Adhering to expected standards of academic integrity.
 - iv. Being a “good citizen” of the Department, College, and University by serving on committees, task forces, etc.

G. PROMOTION/EVALUATION PROCESS FOR FACULTY

Promotion of faculty can occur in accordance to guidelines specified in Section E.13 of the Faculty and Administrative Professional Manual. The Department has two promotional tracks available, as outlined below: Instructor Track and Professorial Track. These ranks are aligned as follows, in accordance with Section E.13 of the Faculty and Administrative Professional Manual.

Instructor	
Senior Instructor	Assistant Professor
Master Instructor	Associate Professor
	Professor

If a faculty member earns a Ph.D on the Instructor Track, they are eligible to move across to the Professor Track.

The table below provides guidance on generally expected duties, responsibilities, and achievements associated with the various ranks in each of the two tracks. More detailed guidelines as to how faculty excellence can be evaluated in the areas of research, teaching, and service are outlined in the following section (Section H). All promotions are to be based on

merit, with decisions made via careful analyses of performance, outcomes, and impact, as relevant to a faculty member's effort allocation.

<p>Instructor</p> <ul style="list-style-type: none"> • Minimum requirement of a Master's degree (or equivalent) • Primary responsibility will be that of teaching, which may include developing course work, teaching online and/or on-campus, grading course work, supervising and evaluating GTAs assigned as graders, co-instructors, and recitation instructors • Role may include outreach/engagement to communities and partners beyond the university that draws on the individual's expertise • Limited service responsibilities, particularly within the beginning years. Any service responsibilities will be at the department and college levels • External evaluation of contribution to teaching and outreach, as relevant to appointment 	
<p>Senior Instructor</p> <ul style="list-style-type: none"> • Minimum 5 years experience as an Instructor (or equivalent) • Consistent record of excellence in teaching activities • Evidence of professional development • External evaluation of contribution to teaching and outreach, as relevant to appointment • A demonstrated commitment to outreach/engagement to communities and partners beyond the department that draws on the individual's expertise • A demonstrated commitment to service at the department and college levels 	<p>Assistant Professor</p> <ul style="list-style-type: none"> • Minimum requirement of a Ph.D • Responsibilities in teaching and/or research, as determined by effort allocation. • Role may include outreach/engagement to communities and partners beyond the university that draws on the individual's expertise • Limited service responsibilities, with any service responsibilities being at the department and college levels • External evaluation of contribution to teaching, research, and outreach, as relevant to appointment

<p>Master Instructor</p> <ul style="list-style-type: none"> • Minimum 5 years experience as Senior Instructor (or equivalent) • Demonstrates sustained excellence in teaching activities • Demonstrates leadership and innovation in teaching • Increased record of professional development • External evaluation of contribution to teaching and outreach, as relevant to appointment • Demonstrates leadership in outreach/engagement to communities and partners beyond the department that draws on the individual's expertise • Demonstrates leadership in service at the department, college, and university levels 	<p>Associate Professor</p> <ul style="list-style-type: none"> • Minimum 5 years as an Assistant Professor (or equivalent) • Consistent record of excellence in teaching and/or research activities • External evaluation of contribution to teaching, research, and outreach, as relevant to appointment • Evidence of professional development • A demonstrated commitment to outreach/engagement to communities and partners beyond the department that draws on the individual's expertise • A demonstrated commitment to service at the department, college, and university levels
	<p>Professor</p> <ul style="list-style-type: none"> • Minimum 5 years experience as Associate Professor (or equivalent) • Demonstrates sustained excellence in teaching and research activities (all faculty at the Professor rank are expected to contribute to scholarship, (see Section H regarding what constitutes scholarship)) • Demonstrates leadership and innovation in teaching and scholarship • Demonstrates leadership in outreach/engagement to communities and partners beyond the department that draws on the individual's expertise • External evaluation of contribution to teaching, research, and outreach, as relevant to appointment • Demonstrates leadership in service at the department, college, and university levels

Except in unusual circumstances noted in the statement of reasons given for the promotion recommendation, when tenure is granted to a tenure track assistant professor, the individual shall be promoted concurrently to associate professor as part of the tenure process.

Each promotion case will be evaluated on its merits, with faculty members that demonstrate exceptional achievements and talent eligible for promotion prior to the timelines outlined in the table above. Early cases for promotion are held to a higher standard than regular standards; simply meeting the standard expectations is not enough. For all early cases, there should not be any doubt about performance in areas of responsibility.

The faculty member shall initiate the process leading to a recommendation for the granting or denial of promotion by submitting a formal request for promotion in rank to the department head. The faculty member should consult with the department head before initiating this process. The faculty member should also consult the website of the Office of the Provost for information and forms regarding applications for promotion.

All promotion documents must be submitted to the chair of the Tenured and Tenure-Track Promotion Committee or the chair of the Non Tenure-Track Promotion Committee (whichever is relevant for the faculty member in consideration) by June 1st in the year the faculty member is to be reviewed, or the documents will not be reviewed in that year.

Because this recommendation is primarily a faculty responsibility, the department head shall ask the Tenured and Tenure-Track Promotion Committee or the Non Tenure-Track Promotion Committee (whichever is relevant to the faculty member being considered for promotion) to vote by ballot for or against promotion of the faculty member. A promotion recommendation shall be by a majority vote of the relevant Promotion Committee. The recommendation shall include a vote summary and a statement of reasons representing the majority and minority points of view. The recommendation shall be forwarded successively to the department head, the dean of the college, the Provost, and the President for review and either endorsement or opposition. The Board has delegated the final decision to the President.

H. DEPARTMENT EXPECTATIONS AND STANDARDS/GUIDELINES FOR FACULTY EXCELLENCE IN RESEARCH, TEACHING, AND SERVICE

The standards / guidelines for all faculty in achieving excellence in the areas of teaching, research and service include:

1. Expectations and Standards Guidelines for Faculty in Teaching/Advising

Faculty are expected to strive for teaching excellence, demonstrate efforts to provide quality instruction to students, and provide satisfactory advising to students. Faculty will be evaluated on teaching as part of the tenure process and promotion process. As noted in the Faculty Manual (Section E.12.1): *The faculty in each academic unit will develop specific criteria and standards for evaluation and methods for evaluating teaching and advising effectiveness and will evaluate teaching and advising as part of annual and periodic*

comprehensive reviews. These criteria, standards, and methods will be incorporated into departmental codes.

- a. Teaching excellence is defined by numerous characteristics outlined below, which should be used in evaluating teaching performance. These characteristics include:
 - i. *Academic rigor*: students are challenged intellectually at a level appropriate to their abilities.
 - ii. *Student appreciation of the subject*: students value course content and its applicability to understanding the world.
 - iii. *Student assessment*: students are provided constructive and timely feedback
 - iv. *Pedagogy*: faculty member utilizes innovative and varied instructional strategies.
 - v. *Engagement*: students are prepared and active in class activity
 - vi. *Community*: faculty member establishes a climate of trust and respect in course activities and discussion.
 - vii. *Interaction*: faculty member is available to students outside of class, and encourages students to do well.

- b. Teaching excellence is demonstrated by a number of indicators related to instructional quality, support of students, student outcomes and others. Teaching excellence for tenure and/or promotion can be illustrated by:
 - i. Course materials (e.g., syllabi, assignment sheets, lesson outlines)
 - ii. Leadership and/or initiative to design a new course or re-design an existing course
 - iii. Documentation of innovative efforts to apply and experiment with new methods to improve teaching excellence
 - iv. Peer review by faculty or other qualified personnel
 - v. Departmental course evaluations
 - vi. Standard university course evaluations
 - vii. Letters from current and/or former students
 - viii. Annual departmental performance evaluations
 - ix. Awards and/or other similar recognitions for teaching performance
 - x. Professional development activities related to teaching and advising (e.g. Participation in workshops to develop skills related to the faculty member's position and discipline; attendance at conferences to participate in a panel or give a presentation; enrollment and successful completion of continuing education courses or programs appropriate to the discipline; learning about pedagogical developments in the discipline; or learning about current research developments in the discipline to inform teaching

Note: ALL faculty going up for tenure and/or promotion must participate in a sufficient number of external anonymous reviews of their courses during their time in rank to be able to evaluate teaching excellence, or progress towards it, over time. This will begin during the 2019-2020 academic year. With instructor permission, external reviewers recruited to help with evaluations for this purpose will be able to obtain access to relevant course materials, including access to Canvas where applicable.

- c. External evaluation of teaching for faculty can include:

- i. External evaluation of teaching (from within the university), as commensurate with effort allocation. This can include, but is not limited to, evaluation of the following:
 1. In-classroom teaching practices and methods
 2. Syllabi and course materials
 3. Methods of student engagement and assessment
 4. Activities and assignments
- ii. External evaluation by faculty from peer institutions (beyond the university) of teaching and service efforts, as commensurate with effort allocation
- iii. External letters from practitioners/agencies/industries relevant to the faculty member's areas of expertise
- iv. Established reputation in their discipline and creative accomplishments at the national level. This can be demonstrated through presenting, organizing workshops and sessions, being an invited speaker, and taking on leadership roles in their discipline, among other examples
- v. Demonstrated evidence that the faculty member's teaching influence extends beyond the department to the college, university, and beyond
 1. Presentations given related to their discipline on campus and regionally
 2. Presenting and organizing workshops and sessions
 3. Invitation as a guest speaker beyond the department
- vi. Professional teaching honors or awards at the department, college, university level, or other evidence of significant professional accomplishment appropriate to the discipline
- vii. Professional practice (e.g., maintaining a consulting business related to the discipline, summer work in industry related to discipline) that helps to build the faculty member's profile and renown in their discipline
- viii. Invitation and service on review panels, industry, or accreditation boards

2. Expectations and Standards / Guidelines for Faculty in Research

- a. Both research quality and quantity will be assessed as part of the tenure process and the promotion process, as relevant to effort distribution. Publication in refereed journals is the common standard used to judge research performance.
 - i. "Refereed publications" are defined as: Contributions to periodicals, serials and monographs manuscripts have been submitted to review and evaluated by peers. These contributions should be original contributions to the discipline.
 - ii. Book reviews, short notes, invited papers, and discussion papers, although non "refereed publications" may be used for additional evidence of scholarly work. While presentation of papers at professional meetings, preparation of research reports and consultation are indicators of achievement, they often lack the necessary peer approval and widespread dissemination that are usually deemed necessary.
 - iii. A distinction is made between peer reviewed (a.k.a. peer-edited) and refereed publications. One criteria for distinguishing peer reviewed from

refereed is the probability a manuscript submission will be accepted or rejected. If the probability of rejection equals 0, the publication is not refereed.

- iv. The accept / reject ratio can be applied to other types of publications. For example, books, book chapters, and conference proceedings would typically be considered peer reviewed, not refereed publications, because once the author has written the manuscript, the document will be published. The accept / reject ratio also provides a criterion for ranking the prestige of a journal publication. Journals with higher rejection rates apply more rigorous standards. Candidates seeking tenure and/or promotion should consult with members of the Tenured and Tenure-Track Promotion Committee if they have questions about the acceptability of any given journal.

Evidence of scholarly / research activity will be evaluated, not merely enumerated, to assess the continuity and effectiveness of the faculty member's effort and the quality and significance of the results.

- b. The evaluation of Research will take into account the type and quality of publications and other research activities. Some measures of research quality may include:
 - i. the prestige of the journals in which publications appear (prestige may be measured in several different ways, including (but not limited to) journal impact factors, journal eigenfactor scores, journal rankings within fields (e.g., via Web of Science Journal Citation reports)),
 - ii. number and quality of citations of authored works (e.g., as tabulated by google scholar citations, via altmetric scores, or via citation indices, such as h-index and i10-index; and/or as indicated by citations that refer to the substantial influence of the research
 - iii. awards for significant accomplishment,
 - iv. External funding activity (e.g., writing of proposals, obtaining awards, and obtaining renewals),
 - v. Presentations and organized sessions at regional, national, and international conferences and other professional meetings; invitations to visit and present at peer (or higher) institutions,
 - vi. Evidence of impact research has had on the field (e.g., influence of work on the practices of agencies, organizations, or industry).

3. Expectations and Standards / Guidelines for Faculty in Professional Service

- a. University service may include: committee work (Departmental, College and University); interdisciplinary collaboration on academic programs or governance; development of special forums, symposia and other events; participation on search committees; and advising student organizations.
- b. Public service is often reflected in work on boards, commissions, task forces or working groups at the community, state, or national level and relevant to the faculty member's expertise. Technical assistance, training, development of

extension activities and materials (e.g., handbooks, technical reports, videos, media interviews, field days, etc.), participation on evaluation or mediation teams - especially where they are directed at agencies or similar clients that we serve in our discipline – are all demonstrations of service. Awards for such service may prove a measure of quality.

- c. Participation in and contribution to professional societies may be evaluated by length of membership, offices held, conferences or symposia the person has helped organize, and service on editorial boards or as editor for journals. Invited presentations at professional meetings (e.g., plenary or keynote addresses) are evidence of the person's leadership and progressive work in the field. Letters of appreciation or recognition by outreach clients may serve as tangible evidence of contribution for both public and professional service.

I. SABBATICAL AND PROFESSIONAL DEVELOPMENT FOR FACULTY

The University offers tenured faculty members the possibility of sabbatical leaves. According to state statute, a faculty member may not take sabbatical leave more often than once every seven (7) years. According to University policy, a faculty member does not become eligible for sabbatical leave until the accumulation of six (6) years of service as a regular faculty member at Colorado State University since the faculty member's initial appointment or most recent sabbatical leave. A faculty member in a tenure-track position may apply for sabbatical leave prior to being granted tenure, and such leave may be granted subject to the condition that the faculty member receive tenure prior to beginning the sabbatical leave. However, a faculty member must have tenure in order to take sabbatical leave. For more specific information about sabbatical for tenured and tenure-track faculty, please refer to F.3.4 in the Faculty and Administrative Professional Manual.

A contract or continuing faculty member who has at least twelve (12) semesters of employment, or a combined twelve (12) semesters between contract or continuing appointments (or sooner at the discretion of the department) becomes eligible for funding for release time in order to pursue scholarly development. Once such funding has been granted, the faculty member becomes eligible for such funding again after another twelve (12) semesters of such employment. A request for such funding shall be submitted in writing by the faculty member to the department head. This request shall include details regarding the type of scholarly development and the amount of funding requested. The department head shall respond in writing with an approval or denial of the request. In the case of a denial of the request, the reasons for the denial shall be stated in writing in the response. For more information refer to sections E.2.1.3 and E.2.1.4 in the Faculty and Administrative Professional Manual.

J. INTERNAL GRIEVANCE PROCEDURE

1. Any faculty or staff member has the right to question any decision, which may affect their Departmental responsibilities, professional status, or salary.

2. Any faculty or staff member who feels that they may have a complaint against the Department Head, or any other Department faculty member, should discuss the problem with the individual(s) involved to try to resolve the problem as quickly as possible at that level.
3. If a situation is not resolved to the satisfaction of the complainant, they should discuss the matter informally with the Department Head (or if the Department Head is the subject of the issue, with the Dean of the College) prior to invoking the CSU grievance procedures (see Faculty and Administrative Professional Manual, Section K).

ARTICLE IV. STUDENTS

A. STUDENT APPEALS

The process for student appeals on matters between faculty and the student depends on the alleged injustice or issue is as follows:

1. Issues related to alleged sexual misconduct or harassment, and any complaint concerning discrimination should be directed to the university's Office of Equal Opportunity, where separate policies are applicable and administered by specific university offices.
2. On academic matters between a faculty member and undergraduate or graduate student, such as disputes on course or assignment grades, authorship on articles, classroom climate and similar matters, the parties should first attempt to resolve the dispute among themselves through open discussion, potentially involving an internal and objective third party such as a department chair, if appropriate.
3. If the dispute remains unresolved, the parties can seek outside assistance to facilitate a resolution process, beginning with the university's Conflict Resolution Service (CRS). A student or faculty member can make a referral to CRS, which will meet with affected parties to advocate for and facilitate a fair process as a neutral third party.
4. Matters of grade appeals that are not resolvable between student and the faculty member should not go through CRS. Rather, students should follow the *Grade Appeals* process outlined in the General Catalog.
5. If the student is not satisfied with the outcome of either the Grade Appeals process or the CRS resolution process, the individual can submit a Student Complaint to the Dean of Students within the office of the Vice President for Student Affairs (see policy 8-8004-004). The Dean of Students will make a determination if additional action is warranted.

ARTICLE V. CONSISTENCY AND REVISION OF THE CODE

All policies and procedures adopted in this Department Code will be consistent with policies and procedures of the College of Natural Resources and the University Code. A review of the department code should be undertaken in the year prior to the end of each term of the Department Head.

Approved:
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Michael Gavin
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