



**COLORADO SCHOOL OF  
MINES**

# **PROCEDURES MANUAL**

**Revised October 2023**

**EFFECTIVE:  
2023-2024 ACADEMIC YEAR**

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# Procedures Manual

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## Section 1: Introduction

- 1.1 Purpose of Academic Affairs Procedures Manual (p. 3)
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- 1.3 Additional Resources for Mines Policies and Procedures (p. 3)
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### 1.1 Purpose of Academic Affairs Procedures Manual

This Colorado School of Mines (Mines) Procedures Manual is published and maintained by the staff of the Provost. This Manual is not a repository of official Mines policies. Instead, it is a compendium of procedures and information that have been established to implement policy and facilitate operations in academic units under the general direction of the Provost. It is a living document that is updated as policy evolves, and as improved and more streamlined procedures are developed to implement policy. The Mines Faculty Handbook is the legal document that sets rules and criteria on campus, whereas the Procedures Manual provides examples of those criteria. As such, if any conflict arises, the Handbook takes precedence. The Office of Academic Affairs welcomes constructive feedback on procedural improvements that facilitate interactions among the academic units of Mines and its administration as noted in Section 1.2.

A current copy of the Manual is maintained electronically on the Academic Policies website and academic units are encouraged to maintain an up-to-date hard-copy version of the Manual within their Office and to make faculty and staff aware of its location and function.

Last Revision:  
October 4, 2022

### 1.2 Procedures Manual Modification Process

The Procedures Manual is maintained and controlled by the Office of Academic Affairs as its intent is to codify policy and procedures that implement, and in other ways supplement, those contained in the Faculty Handbook. However, the Provost and the Office of Academic Affairs acknowledge the need for transparency and broad community input regarding substantive changes made to the Manual. As such, the

following modification process shall be utilized in revising the Procedures Manual.

- Upon the final approval of all revisions to the Faculty Handbook, during the summer, the Vice Provost shall review the existing Procedures Manual to:
  - ensure compliance with revised Handbook language,
  - ensure that the content is current (e.g., hyperlinks, dated materials, etc.), and
  - develop new Procedures Manual sections that respond to needs identified by external constituencies (e.g., Handbook Committee, Senate, etc.) or Academic Affairs.
- Campus is notified and the updated Procedures Manual posted by October 1 of each academic year.
- Suggestions for revisions or corrections may be submitted to AA at any time through the Procedures Manual Request Form.

Last Revision:

October 4, 2022

### 1.3 Additional Resources for Mines Policies and Procedures

#### Mines Faculty Handbook

The Board of Trustees is the legal employer of all employees at Mines. The Board, which defines all exempt Mines employees as faculty, sets forth the general terms and conditions of faculty employment in the Mines Faculty Handbook, and especially within Part II of that Handbook. The most current version of the Faculty Handbook is maintained in the Mines Policy Library.

Each academic department is responsible for maintaining an up-to-date copy of the Faculty Handbook and informing department faculty/staff of its location.

#### Board of Trustees (BOT) Policies

From time to time the Board issues policy on specific aspects of Colorado School of Mines' operation. Depending on the nature of the policy, these may be published in

- Section 10 of the Faculty Handbook, and/or
- The Board Policies Website

#### Undergraduate and Graduate Catalogs

These contain a variety of policies relevant to academic programs, registration and student life. The Catalogs are online and updated annually.

#### Travel Policies and Procedures

All policies and procedures associated with employee and student travel can be found online under Section 5: Travel in the Policy Library.

#### Human Resources

Mines Human Resources oversees the following items, among others:

- Employee Benefits
- New Employee Information
- SpeakUp@Mines

## Environmental Health and Safety

Mines Environmental Health & Safety (EHS) provides support in terms of:

- EHS training
- EHS concern resolution and incident investigation
- Emergency preparedness
- Laboratory and research safety
- Chemical and hazardous waste management

details of which can be found at the weblink above.

## Facilities Management

Mines Facility Management controls a variety of services on campus:

- Mechanical (HVAC, Controls, Plumbing, Elevators)
- Electrical
- Structural Trades (General Building Maintenance, Access Services)
- Grounds (Landscape, Snow Removal, Athletic Fields/Complex)
- Custodial Services
- Distribution Services (Mail)
- Parking Services
- Fleet Management

as noted in the weblink above.

## Colorado School of Mines Web Pages

Mines websites are anchored at <https://mines.edu/> and contain numerous links to academic, administrative, support and student services at Mines.

Last Revision:

July 18, 2022

# 1.4 Overview of the Office of the Provost and Academic Affairs

The Office of Academic Affairs is located on the third floor of Guggenheim Hall.

The Provost reports to the President and has oversight responsibility for all matters relating to the academic mission of Mines. These responsibilities, some of which may be delegated, include:

### Accreditation

- Oversight of Accreditation Board for Engineering and Technology (ABET) and Higher Learning Commission (HLC) Self-Study preparations
- On-site visit coordination
- Oversight of institutional compliance with academic accreditation requirements

### Admissions

### Budget Issues

- Portfolio budget requests and allocations
- Academic fund management

### Colorado Department of Higher Education Liaison

- Academic Council
- Statewide General Education

### Committees

- Calendar Committee
- Academic Executive Committee
- Handbook Committee
- Faculty Awards Committee

### Coordination of Faculty/Curriculum/Academic Planning

- Publication and facilitation of promotion and tenure processes
- Maintenance of AA Procedures Manual
- Sabbatical requests and follow-up
- Coordination and oversight of faculty hiring activities
- Curriculum oversight and review
- Development of institutional response to Visiting Committee reports
- Assessment of student learning outcomes

### Deans and Portfolios

- Annual evaluations of Deans
- Oversight of portfolio operations

### Events

- Coordination of Commencements faculty marching lists
- August Faculty Conference
- New Faculty Orientation
- April Faculty Awards Celebration

### Library

### Registrar

### Space Issues

- Academic space planning and allocations

### Office of Graduate Studies

### Office of Undergraduate Studies

### Last Revision:

September 22, 2022

## Section 2 - General Administrative Procedures

- 2.1 Annual Calendar of Deadlines/Due Dates for Academic Procedures (p. 5)
- 2.2 Department and Administrative Office Hours, Faculty, Office Hours, Communication Requirements and Staff Meetings (p. 5)
- 2.3 Alcohol at Mines Functions (p. 5)
- 2.4 Federal, State and Local Government and Media Relations Procedures (p. 5)

### 2.1 Annual Calendar of Deadlines/Due Dates for Academic Procedures

#### Governing Policies

Section 8.1.4, Faculty Handbook – Preliminary Tenure Review  
Section 8.1.6, Faculty Handbook – Tenure Review Process  
Sections 8.1.9; 8.2.4; 8.3.4; 8.4.4, Faculty Handbook – Promotion Review Process

#### Procedure

Prior to the end of each Spring semester, the Office of Academic Affairs issues a calendar for submission of reports and recommendations for the coming academic year. This calendar includes submission and process deadlines for Preliminary Tenure Review, Promotion and Tenure consideration, and application for emeritus status. Submission requirements for Preliminary Tenure Review and Promotion and Tenure are provided in Section 6 of this Procedures Manual.

The current Calendar for Submission of Academic Reports and Recommendations can be found on the Academic Affairs website.

Last Revision:

July 15, 2022

### 2.2 Department and Administrative Office Hours, Faculty, Office Hours, Communication Requirements and Staff Meetings

#### Office Hours

All Mines offices should, if at all possible, be staffed from 8:00 a.m. to 5:00 p.m., including the lunch hour. State Fiscal Rules require that state agencies be open from 8:30 a.m. to 5:00 p.m.; it is our policy to be open at 8:00 a.m. Tenure/Tenure Track and Teaching Faculty are expected to maintain multiple office hours per week.

#### Communication Requirements

Phone and email communication contact data for all offices should be available and advertised through appropriate office websites and via the Mines Directory. If a staff member is unavailable to respond immediately

to a request, appropriate messages should be made available so that communicators from both on and off-campus clearly understand which office/individual they have reached, know how to respond appropriately to the message and follow-up as they desire, and – if they so choose – can leave a message for the staff member.

### Department Staff Meetings

Department staff meetings should be held on a regular basis, and at least monthly. Minutes for departmental meetings should be recorded or transcribed and available for faculty review and, as necessary, accreditation activities.

Last Revision:

June 19, 2023

### 2.3 Alcohol at Mines Functions

#### Governing Policies

Institutional Alcohol Policy  
Student Alcohol Policy and Procedures  
Financial Policies Chapter 2: Disbursements (see 2.1 Propriety of Expenditures and 2.9 Alcohol Purchase)

#### Procedure

As per the Propriety of Expenditures policy, alcohol may be purchased for official functions, meetings/conferences for which fees are charged, or fundraising events. The purchase of alcohol may only be made from discretionary gift funds (i.e., discretionary foundation accounts). At all times, the purchase of alcohol must fall into the “incidental” expense category; purchases that can be considered excessive should be stopped at the Department Level.

Approval for the purchase of alcohol may be sought from the President, Provost, appropriate Vice President or Department Head. Approval is signified by approval authority signature on the alcohol purchase requisition.

Additionally, if alcohol is to be served at an event at which students will be present, prior approval for the event must be received from the Associate Dean of Students. Approval may be sought by submitting a Request to Serve Alcohol Form to the Associate Dean. Please note that approval must occur no later than one week prior to the event.

Last Revision:

July 15, 2022

### 2.4 Federal, State and Local Government and Media Relations Procedures

#### Governing Policies

Media Relations Policy

#### Government Relations

The President of Mines, or designee, serves as Mines' primary spokesperson for government relations. To ensure consistent communication and effective coordination of Mines' federal, state and

local government relations, faculty and staff acting as Mines employees shall communicate and coordinate with the appropriate campus staff (see "Campus contacts information" below), as well as inform their supervisor:

- prior to and following contacts with federal, state and local government officials and/or their staff; and/or
- if solicited by anyone seeking Mines' support for any potential or pending legislation or policy relating to Mines, and before making any representations about Mines' support of such legislation or policy.

This coordination will help ensure that faculty and/or staff have an overview of other campus issues and/or initiatives relevant to the contact, and will help inform appropriate campus offices of any new developments arising from the contact.

This policy does not apply to faculty or staff's personal involvement in government. To properly differentiate Mines communications from personal communications, faculty and staff shall not use Mines' resources to communicate their personal views on government matters. When communicating personal views on government matters, faculty and staff must clearly state that they are communicating personal views.

Please Note: Exceptions to these procedures include any activities relating directly to the launching of a state- or federal-grant application that entails going through a peer-review process. While these activities are exempt from these guidelines, such activities shall be discussed and coordinated with the Vice President of Research and Technology Transfer.

#### Campus contact information:

- State and local relations: Chief of Staff
- Federal relations: Vice President for Research and Technology Transfer

## Media Relations

The Media Relations Policy requires that:

- All announcements to the media from Mines must be coordinated with the Marketing and Communications Office.
- When approached by the media, faculty may respond within their scope of expertise. The Marketing and Communications Office and their supervisor should be informed as soon as possible after the contact.
- Faculty that believe that they will be providing statements or that believe it is likely they will be asked to do so should work with the Marketing and Communications Office on how to best communicate with the media. This office has significant experience with the media and how to best convey a succinct and accurate message to the public.
- Media queries of an institutional nature should be directed to the Marketing and Communications Office for reply.
- Finally, remember that information related to students and employees is confidential. Media requests related to individual students or employees should be forwarded to the Marketing and Communications Office or Office of General Counsel.

Last Revision:

July 15, 2022

## Section 3 - General Procedures for Faculty

- 3.1 Employment Contract Period and Pay Calculations for Tenure, Tenure-Track, and Teaching Faculty (p. 6)
- 3.2 Requests to Engage in Additional Professional Work (p. 7)
- 3.3 Funds for which Faculty Members Have Responsibility and Accountability (p. 7)
- 3.4 Instructional Use of Graduate Students (p. 8)
- 3.5 Hiring Undergraduate Students (p. 10)
- 3.6 Summer Program Guidelines (p. 10)
- 3.7 Leaves of Absence (p. 11)
- 3.8 Office Space for Transitional and Emeritus Faculty (p. 12)
- 3.9 Sabbatical Requests and Reports (p. 12)
- 3.10 Instructional Development Assignment Requests and Reports (p. 13)
- 3.11 Gift Ban (p. 13)
- 3.12 Mines Research Incentive Program (p. 14)
- 3.13 Course Chargeout and Buyout (p. 16)

### 3.1 Employment Contract Period and Pay Calculations for Tenure, Tenure-Track, and Teaching Faculty

The contract period for tenured, tenure-track, and teaching faculty runs from the date of the annual Faculty Conference to the date of spring Commencement for each academic year. The duration of this period is 37 weeks, 5 days per week. This period includes paid holiday days and Spring break, but does not include 5 days of Winter Research, which happens during the winter break as indicated on the Academic Affairs calendar.

Academic year salary is generally paid to faculty members in ten equal installments on the last business day of each month from August through May. Faculty starting at the beginning of the Spring semester shall receive five equal installments on the last day of each month from January through May. If the faculty member starts on the day-of-the-month other than the first working day of the month, payment for the first month shall be prorated by the number of working days missed during that month. Faculty may request to receive their academic year salary in twelve equal installments. To do so, a deferred pay agreement must be completed in the Human Resources office prior to the first day of work in the Fall semester and is irrevocable for the academic year to which it applies.

In the event a faculty member retires or resigns prior to the end of the academic year, salary will be earned in proportion to the fraction of the academic year in which services were actually rendered. The salary amount per day is calculated by multiplying the Academic Year Salary amount at 100% effort by 0.00541 and by the number of days between the first day of work and last day of work, including paid holiday days, but not including 5 days of Winter Research if the period worked includes the academic winter break.

For faculty performing research during the Winter Research period or during the Summer, the maximum amount paid per day equals the

Academic Year Salary amount at 100% effort multiplied by 0.00541. Total salary is the per day amount multiplied by the days worked.

A summary of pay calculations is provided below:

#### Academic Year

Maximum 37 weeks = 185 days

Salary at 100% effort / 185 days = 0.00541 of Salary at 100% effort

$X\_number\_of\_days * 0.00541 * Salary\_at\_100\%\_effort =$

TOTAL\_ACADEMIC\_YEAR\_PAY

#### Winter Research

Maximum of 1 week = 5 days

$Salary\_at\_100\%\_effort * 0.00541 * Number\_of\_days\_worked =$

TOTAL\_WINTER\_RESEARCH\_PAY

#### Summer Research

Maximum of 14 weeks = 70 days

$Salary\_at\_100\%\_effort * 0.00541 * Number\_of\_days\_worked =$

TOTAL\_SUMMER\_PAY

Includes paid holiday days

#### Last Revision:

July 15, 2022

## 3.2 Requests to Engage in Additional Professional Work

### Governing Policies

Section 6, Faculty Handbook – Performance of External Work and Professional Activities

Section 6.4.3, Faculty Handbook – Procedure for Obtaining Approval of Additional Work

### Procedure

There are three types of additional work request forms:

- *Request to Engage in Professional Consulting Form (Handbook section 6.4.1 A);*
- *Request to Engage in External Employment or Non-Remunerative External Commitment Form (Handbook sections 6.4.1 B and 6.4.1 C); and*
- *Request to Perform Extra Mines Services for Additional Remuneration Form (Handbook section 6.4.1 D).*

These forms correspond to the type of additional work being sought as defined in the Faculty Handbook. These are available on the Academic Affairs website.

The approval process for additional work is defined in the Faculty Handbook, section 6.4.3. In following this process, the completed form, signed by the employee, their Department Head and the Dean (signifying approval), should be forwarded to the Vice Provost for review and approval if required by the Handbook. Approval for work that has already begun, or that has completed, will not be provided. The Office of Academic Affairs must receive the request for approval in sufficient time that a denial of the request will not put an undue burden on either the faculty member or the entity for whom the work will be done. Faculty members are encouraged to request approval for all additional activity from their Department Head a full semester in advance. Academic Affairs will distribute final executed copies of the approved requests to both the

Department and the faculty member. All forms must be completed on an academic-year basis.

If payment from Mines is due to the employee after completion of the work, the employee should complete an *Additional Payment Request Form*, which is available in the Mines Administrative Processing Services (MAPS) forms directory. This form is to be submitted to initiate payment by Mines for additional work when an individual is already an employee of the school. After the work is completed, the employee should fill out this form, obtain the appropriate fund manager's signature and submit it to the MAPS for processing.

Last Revision:

July 18, 2022

## 3.3 Funds for which Faculty Members Have Responsibility and Accountability

### Governing Policies

Financial Policies

Educational Business Activities Policy

At Mines, faculty often have access to and responsibility for administering university funds. These funds can advance the research and instruction mission of the university, fulfill Mines' public service mission, or promote the professional development of faculty by advancing their instructional, scholarly and professional service achievements to better serve students and the community at large.

### Fund Types, Sources and Administration

*Professional Development Fund* - A Professional Development (PD) Fund is created by the deposit of "start-up" funds into an account under the name of a faculty member at the time of initial appointment to Mines. Additional deposits of start-up funds may be made at the beginning of subsequent fiscal years, normally up to and including the third year of appointment. The total amount of start-up funding committed, and the projected apportionment of deposits in the three fiscal years, is negotiated during the faculty hiring process.

These funds are established to enable a new faculty member to enhance their academic and intellectual development and performance by promoting opportunities such as:

- engaging in research and curriculum development;
- acquiring books, data and equipment;
- publishing the results of their research;
- supporting undergraduate and graduate students;
- obtaining professional technical assistance; and,
- interacting with the professional/academic community through participation at professional conferences and workshops.

Start-up funds are budgeted in accordance with the negotiations that have been agreed upon in hiring new faculty members. The institution treats these funds as investments in the academic potential of new faculty members, and therefore expects that the funds be expended appropriately and in a manner that advances the faculty member professionally, and implicitly advances the mission of the institution. Capital expenditures, which are anything that purchases



or maintains a fixed asset like land, buildings, or equipment, require approval. Department Heads have the responsibility to monitor expenditure of start-up funds, and all faculty will be required to provide an accounting and/or justification of expenditures each year during the annual evaluation process. Certification reports will be distributed to all faculty that have active accounts. Abuse or substantial unapproved deviation from the intended use of these funds will result in the freezing of the account and the discontinuance of further start-up deposits.

Start-up funds that are not expended within the disbursement period negotiated upon hiring for tenured and tenure-track faculty will be reverted back to the funding source and the account closed. Upon retirement or resignation of the faculty member, any remaining funds in a PD account will be reverted back to the funding source and the account closed. PD accounts will be reviewed and those due to be closed will be closed at the beginning of each academic year. Extensions to this time period can be reviewed and approved, if appropriate, by the Provost or their designee. Within the first five years, if the tenure clock has stopped, the clock on the start-up funds will also stop. Start-up funds for teaching faculty do not expire and PD accounts will remain open.

Any unspent start-up funds remaining at the end of a given fiscal year (subject to the terms in the above paragraph) shall roll into the subsequent fiscal year for expenditure.

*Research Development Fund* – A Research Development Fund is created by the calculated return of indirect cost provided to each Principal Investigator pursuant to the Indirect Cost Return policy or, for example, the roll-over of unexpended funds from fixed price research contracts (after appropriate overhead has been taken out), or proceeds from transfer of research equipment. These funds are provided to enhance a faculty member's research, academic, and intellectual development. Department Heads have the responsibility to monitor expenditures of funds. Unexpended funds at the end of a given fiscal year will roll into the subsequent fiscal year. There are no time restrictions on the use of these funds.

*Sponsored Project Funds* - Sponsored projects arise from awards from an external sponsor that restricts the use of funds and stipulates conditions with which Mines must comply. These funds are subject to the overhead rate negotiated between the sponsor and the university. The Principal Investigator is responsible and accountable for ensuring that the direct charges to any given sponsored project are appropriate, allowable and in accordance with the sponsor terms and any university, State or Federal regulation.

*Gift Funds* - Gifts arise when an item of value is given to Mines and the donor neither expects nor receives anything of value in return from Mines. Mines has no "deliverables" but provides the donor recognition of the gift and uses the gift in accordance with the donor's wishes. The faculty member is responsible and accountable for ensuring that the use of the funds are appropriate and are in accordance with the restrictions set forth by the donor. A faculty member may not make gifts into a fund for which they have financial management responsibility. These funds are subject to the overhead rate administered by the Mines Foundation.

*Auxiliary Funds* – An Auxiliary Fund is created from awards made by an external party for activities engaged in by the faculty member on behalf of Mines which are not classified as sponsored project or gift. The services provided must fulfill the university's public service mission that includes professional and technical services (including consulting) contributing to economic growth by enabling companies to expand their business. These activities must comply with the Educational Business Activities Policy.

Typically, these funds are used to provide the direct and indirect costs of performing the service, and are subject to the auxiliary overhead rate of the university. Unexpended funds at the end of a given fiscal year will roll into the subsequent fiscal year. There are no time restrictions on the use of these funds.

## Responsibilities and Practices

The funds noted above are not part of a faculty member's income; no taxes are paid on them. Thus, they may only be used for approved institutional and professional purposes; they may not be used to meet the non-professional, personal goals of the individual or those of family members and friends. They may not be used to cover permanent residence status or other immigration expenses for the faculty member who controls the funds (see Academic Procedures Manual Section 4.3 for the procedures on visa and immigration protocols). In the use of these funds, faculty are responsible for following all applicable federal, State of Colorado and Mines policies and procedures, procurement and expenditure rules. The use of these funds is subject to Mines budget, accounting and auditing procedures and reviews. *Equipment purchased using these funds remains the property of the Colorado School of Mines.* Special circumstances related to the ultimate disposition of such property may be considered by Mines.

At no time shall any of the Funds be over-expended. At the end of a given fiscal year, for the fund types noted above, unexpended funds roll forward for use in the next fiscal year (subject to the time limits noted above). If any fund goes into deficit, it will be the responsibility of the faculty member along with their Department Head (or Dean when necessary) to find additional funds to cover these deficits.

## The Disposition of Balances Upon Departure

At the point of a faculty member's departure from Mines (e.g., completion of a transition appointment; resignation to secure a position elsewhere), the balance of a Professional Development Fund and Auxiliary Funds remaining reverts/revert to Academic Affairs, which may elect to provide this balance or a portion thereof to the faculty member's department. Research Development Funds remaining revert back to the research center within which the funds were generated. If the research that generated the funds was performed as an independent investigator, the funds revert to the faculty member's department. Gift funds and sponsored project accounts will remain in the department in which the restriction on the use of funds applies.

Further, upon notification of a pending resignation, the denial of tenure, or upon Mines' action that places an individual on administrative leave, the balance(s) of a faculty member's professional development, auxiliary and research development fund will typically be frozen and/or activity on the account(s) monitored, and thereafter may be used only with the approval of the faculty member's Department Head and the Provost or their designee.

Last Revision:

October 2023

## 3.4 Instructional Use of Graduate Students

### Governing Policies

Graduate Assistantship Policies

## Graduate Contracts

### Procedure

Mines is a university with a reputation for teaching excellence. Consequently, it is important for Mines to establish policies that will maintain the pedagogical benefits of a small-university environment, while at the same time promoting prominence in identified research areas. The staffing of undergraduate and graduate programs is a particularly important aspect of meeting these sometimes-competing challenges.

It is Mines' policy that regular, full-time faculty should be instructors of record for all undergraduate and graduate classes. Given variability in student populations, budgetary distributions, and faculty availability, as well as the importance of instructional experience for doctoral students seeking future academic employment, situations may arise where it makes sense to deliver some of our curriculum by qualified graduate students. This recognition, however, does not obviate the requirement that faculty have overall responsibility for all classes.

The following guidelines define the terms and conditions under which a graduate student may be employed to assist in instructional delivery.

Graduate students should not be hired as adjuncts, but through the mechanisms described below.

### Graduate Hourly Appointments

To allow the most effective use of faculty time, undergraduate and graduate students may be hired on an hourly basis to assist faculty in laboratory setup and grading. Such appointments may be given to graduate students under the policies and procedures currently in place:

1. All full-time graduate students are eligible. Students are selected and appointed on the basis of the needs of the departments and the capabilities of the students.
2. The duties of a Graduate Hourly Appointee in a classroom role are strictly limited to setting up laboratory facilities and grading assignments. Hourly Appointees may not have direct, day-to-day contact with students in an instructional capacity. They may not deliver lectures, supervise laboratory exercises, or be given any instructional duties or responsibilities.
3. Departments may make the appointments at any time using the standard Graduate Hourly contract forms and processes linked above, after review of the policies at links above. Note that tuition remission is not included in Hourly appointment contracts.

### Graduate Teaching Assistants

To allow the most effective use of faculty time and to provide graduate students experience in a teaching role, it is appropriate for the institution to employ Graduate Teaching Assistants. Such appointments may be given to graduate students under the policies and procedures currently in place:

1. All full-time graduate students are eligible. Students are selected and appointed based on the needs of the departments and the capabilities of the students.
2. The duties of a Teaching Assistant are limited to setting up laboratory facilities, aiding students with problem sets and laboratory exercises, supervising laboratory and recitation sections, grading homework and exams, and other duties as appropriate under the direct supervision of faculty in charge of the course. Teaching Assistants may not have primary responsibility for delivering lectures, lead in the

preparation of laboratory exercises or be given broad teaching duties or responsibilities.

3. Departments may make the appointments at any time using the standard Graduate Assistantship contract forms and processes, after review of the policies at links above. Note that tuition remission is included in Teaching Assistant contracts.

### Graduate Teaching Fellows

Neither Graduate Hourly Appointees nor Graduate Teaching Assistants are instructors of record for any courses in which they are involved. It may, however, be appropriate for an advanced doctoral student to be an instructor of record in a course if they meet specific criteria of experience and expertise. Teaching Fellow Appointments acknowledge these qualified students as being instructors of record. The Dean of Graduate Studies has authority to approve Teaching Fellows on a case-by-case basis.

To request approval for a Teaching Fellow, the Department Head or Program Director should submit to the Dean of Graduate Studies documentation that certifies the following conditions have been, or will be met:

1. The appointee must be a PhD student in good standing who has completed the basic course work and minimum number of credit hours required for the degree and has an approved Admission to Candidacy form on file in the Graduate Office.
2. The appointee must have the demonstrated expertise to teach the given course, supported by their academic transcript, C.V., and/or relevant references. For example, the appointee may have taken a similar course as an undergraduate, have taken a graduate course in the same area, or have served as a teaching assistant for the course previously.
3. The appointee must have had relevant teaching experience at the appropriate level or must have completed or be concurrently enrolled in SYGN600: Fundamentals of College Teaching.
4. A full-time permanent faculty member must be assigned as the supervising mentor for the appointee and agree to:
  - Review and approve syllabi, homework assignments, laboratory instructions and exams.
  - Observe selected classes and provide feedback.
  - Assist the appointee with any decisions about unusual or challenging situations that may arise during the class.
  - Monitor grading practices and assignment of grades.
5. The course mentor should not be the appointee's academic advisor and must certify that it will not cause a conflict of interest if there are occasions when the course mentor will give the appointee grades in their own courses or vote on their performance on the comprehensive exam or thesis defense as part of a thesis committee.
6. At the end of the semester, the faculty course mentor must submit a written analysis of the appointee's performance to the Department Head or Program Director and Graduate Dean. The analysis should be based on factors that include the teaching evaluations submitted by students in the class, the mentor's personal observations of the appointee teaching the class, and the written material prepared and distributed by the appointee.

Documentation of the first five conditions for any student being considered as a Graduate Teaching Fellow, plus course information, must be submitted to the Graduate Dean at least three weeks prior to the

start of each semester so that review and/or approval can be done in a timely manner.

If approved by the Graduate Dean, appointments may be given to graduate students under the policies and procedures currently in place. Note that tuition remission is expected as part of Graduate Teaching Fellow contracts.

Last Revision:

June 19, 2023

## 3.5 Hiring Undergraduate Students

### Procedure

Undergraduate students (i.e., those that are fully admitted into a undergraduate degree program at Mines) are eligible for employment to assist in office, teaching or research environments. To receive and maintain an undergraduate employment appointment, candidates must meet the following criteria:

1. They must be making satisfactory progress toward degree completion as defined in the Undergraduate Bulletin and have an overall GPA of no less than 2.0.
2. During the regular academic year, the student must be enrolled; however, during the summer term, the student does not need to be enrolled.
3. The student must meet all eligibility requirements for employment in the United States and the State of Colorado.

Students may concurrently hold multiple employment appointments across campus. However, student employees are expected to continue to devote an appropriate amount of time and energy to completing their degree requirements and their work assignments, Academic Affairs limits the total hourly time commitment from all on-campus employment sources, including formal work study, to no more than 20 hours per week during the academic year. During the summer terms, students who are not enrolled in course work may be employed with hourly commitments of up to 40 hours per week. More information is available at the Mines Financial Aid website. Students must submit time sheets and paid through Mines Payroll.

Undergraduate student employment contracts can be submitted through the Mines Help Center.

Last Revision:

July 22, 2022

## 3.6 Summer Program Guidelines

### Governing Policies

Section 6.1.5, Faculty Handbook – Summer Services

## SNAPSHOT: SUMMER SCHEDULING

Early Fall	The Office of Academic Affairs sends memo to Department Heads requesting preliminary summer course offering (excluding Field Sessions).
Early October	Department Heads will work with portfolio Deans to determine summer course needs/opportunities and return list of proposed summer offerings to Academic Affairs and the Office of Undergraduate Studies.
Mid-October	Dean of Undergraduate Studies will provisionally approve preliminary plans, offer recommendations to portfolio Deans. Portfolio Deans work with Department Heads to determine changes as needed.
Early November	Publication of spring and summer schedule.
January-February	The Office of Academic Affairs will forward portfolio Deans and Department Heads a formal budget request (both regular and field) during Summer I and Summer II Sessions. Portfolio Deans and Department Heads collaborate on budget needs.
Early March	Portfolio Deans return final budget to the Office of Academic Affairs for approval.

### Procedure

Within the first three weeks of the Fall semester, the Office of Academic Affairs will send a memo to Department Heads asking for a preliminary plan of summer course offerings excluding field session courses. Department Heads will work with their portfolio Dean to determine summer course needs and opportunities and return a list of proposed summer offerings to the Offices of Academic Affairs and Undergraduate Studies in early October. The Dean of Undergraduate Studies will provisionally approve departmental preliminary plans and offer recommendations to the portfolio Deans as deemed appropriate. The portfolio Deans will work with their Department Heads to determine changes to the proposed plan, if any. The goal is to have the summer schedule published at the same time as the spring schedule in early November.

Early in the Spring semester, the Office of Academic Affairs will forward to the portfolio Deans and Department Heads a formal budget request for offering courses, both standard and field Summer I and Summer II courses. The portfolio Deans will work with Department Heads to determine budgetary needs for summer course offerings and return anticipated costs to successfully deliver the planned summer offerings back to the Office of Academic Affairs by early March. Exact distribution and return dates are published in the Academic Affairs Annual Calendar of Deadlines as described in Section 2.1 of this Procedures Manual.

The portfolio Deans and Provost will review these requests and approve based on the conditions defined below.

Regardless of term of offering (i.e., Summer I or Summer II), standard classroom courses are treated differently – both in terms of requirements for approval and in terms of faculty compensation – than programs understood to be part of the institution’s field requirement.

## Standard Classroom Offerings

Standard classroom offerings will usually only run as planned if enrollment in the course is sufficient to cover the cost (i.e., both direct and indirect) of delivering the course. The Office of Undergraduate Studies will provisionally approve a summer course offering based on enrollment estimates and early registration information. As the start of each Summer term nears, however, the Office of Undergraduate Studies will continue to monitor enrollment and may recommend canceling courses that were provisionally approved based on low student enrollment.

## Online Course Offerings

Online course offerings will only run if the course has passed the review of online standards prior to any students enrolling in the course. Until then, the course will be visible on Trailhead as “Online upon Approval” and capped at 0. There will be a waitlist for students and once approved, students on the waitlist will be added to the course. Similar to regular classroom offerings, online courses will usually only run as planned if enrollment in the course is sufficient to cover the cost (i.e., both direct and indirect) of delivering the course. The Office of Undergraduate Studies will provisionally approve a summer course offering based on enrollment estimates and early registration information. As the start of each Summer term nears, however, the Office of Undergraduate Studies will continue to monitor enrollment and may recommend canceling courses that were provisionally approved based on low student enrollment.

## Faculty Salary

Faculty salary for summer courses is computed based on a faculty member’s academic year salary and the number of credit hours the faculty member teaches. Assuming a full-time teaching load for a faculty member engaged in nothing but teaching during the academic year is 8 (4+4) 3-credit hour courses, a faculty member receives as compensation 4.1667% of their AY salary for every credit hour delivered. During the summer, maintaining this expectation, a faculty member’s summer pay can be computed as

$$\text{Faculty\_Salary} = \text{Faculty\_AY\_Salary} * \text{Credit\_Hours} * 0.041667$$

A faculty member’s daily rate of pay during the summer may be computed from a faculty member’s daily rate of pay during the academic year ( $\text{Faculty\_AY\_Salary} / 185$  days) as:

$$\begin{aligned} \text{Faculty\_Salary\_Daily} &= \text{Faculty\_AY\_Salary\_Daily} * \text{Credit\_Hours} * \\ &0.2569^1 \text{ (Summer I)} \\ \text{Faculty\_Salary\_Daily} &= \text{Faculty\_AY\_Salary\_Daily} * \text{Credit\_Hours} * \\ &0.1927 \text{ (Summer II)} \end{aligned}$$

where Summer I is 30 days long, and Summer II is 40 days long. As the summer terms are compressed, however, faculty compensation calculated on a daily basis may not exceed a faculty member’s AY daily rate; unless approved as an overload. During Summer I, the summer daily rate exceeds the AY daily rate at credit hour delivery above 3.5 total

credit hours. During Summer II, the summer daily rate exceeds the AY daily rate at credit hour delivery above 5 credit hours.

<sup>1</sup> Each credit hour represents 16 contact hours. Based on 8, 3-credit hour courses during the AY, a full-time load during the AY represents 2.0757 contact hours per day ( $16 * 24 / 185$ ). Thus, during a compressed Summer I term, 16 contact hours in 30 days represents 0.5333 contact hours per day, or  $0.5333 / 2.0757 = 0.2569$  of a total full-time contact hour load per day. Similarly, for Summer II, 16 contact hours in 40 days represents 0.4 contact hours per day, or  $0.4 / 2.0757 = 0.1927$  of a total full-time contact hour load per day.

Below credit hour commitments of 4 and 6 credit hours respectively, faculty may also engage in other funded activities (e.g., sponsored research). The number of days available during the Summer for any other sponsored activity when the faculty member is teaching part-time in Summer I or Summer II is calculated using the formulas below:

$$\begin{aligned} \text{Days\_Available} &= 30 - \text{Credit\_Hours} * 7.7083 \text{ (Summer I)} \\ \text{Days\_Available} &= 40 - \text{Credit\_Hours} * 7.7083 \text{ (Summer II)} \end{aligned}$$

## Field Offerings

Unlike the classroom offerings defined above, field offerings are required components of a program’s curriculum that are typically delivered over summer. As such, support for these offerings is formally budgeted and the Office of Academic Affairs does not use the formal criteria defined above to determine whether or not a field course is fiscally viable. The portfolio Dean will, however, work with the Department Head to review and evaluate field program budgets to ensure these offerings are run as efficiently as possible.

Faculty salary derived from a field program offering is computed using the following formula:  
 $\text{Faculty\_Salary} = 1 / 185 * \text{AY\_Salary} * \text{Days\_in\_the\_Field} * \text{Percent\_Effort}$

### Last Revision:

August 2, 2022

## 3.7 Leaves of Absence

### Governing Policies

Section 5.4, Faculty Handbook – Leave Benefits  
 Section 8.1.1C, Faculty Handbook – Request for Extension of Probationary Contract Period

### Procedure

Various types of leaves of absence are defined in Section 5.4 of the Faculty Handbook (Unpaid Leave, Sick Leave, Family Medical Leave (FML), Parental Leave, etc.). With the exception of short-term leaves such as Annual Leave, Sick Leave, and Holiday Leave, approval for a leave of absence must be obtained prior to taking the leave. The intent and requirements for each type of leave are defined in the Faculty Handbook.

As defined in section 5.4.2 of the Faculty Handbook, requests for **unpaid leaves of absence** should be submitted in writing to a faculty member’s immediate supervisor. Unpaid leave is granted at the discretion of the Dean, or a Vice President as appropriate.

The general approval process for **paid leaves of absence** is as given below:

1. As soon as possible, the faculty member should provide their immediate supervisor informal notification of the need to take leave. As part of this interaction, the immediate supervisor should refer the faculty member to the Office of Human Resources to discuss leave options as defined in the Faculty Handbook.
2. The faculty member is responsible for contacting the Office of Human Resources to schedule an appointment to discuss leave rights, benefits and options given their situation and needs.
3. At the conclusion of these discussions, the Office of Human Resources will follow up with the faculty member's immediate supervisor regarding any leave for which the faculty member is eligible as well as any approval granted for FML.
4. The faculty member should then provide formal, written notification to their immediate supervisor and the Office of Human Resources to exercise any leave benefits.
5. As defined in the Faculty Handbook, when a leave of absence extends partially through an academic semester, a faculty member may request teaching relief for that semester. Department Heads are authorized to provide this relief and work with the faculty member to craft a plan that defines non-teaching expectations for the remainder of the semester. It is presumed that these expectations will in total constitute an anticipated workload that is appropriate given the nature (i.e., full-time or part-time) of the faculty member's appointment. It is inappropriate to shift workload expectations that a faculty member missed while on leave to another semester (e.g., to increase the expected teaching load in the immediately subsequent semester).
6. The Department should verify that leave has been accurately recorded in any applicable leave reporting system. Questions regarding leave coding should be referred to the Human Resources Office.

Department Heads are not authorized to approve or deny any form of long-term leave, including but not limited to extended Sick Leave, Medical Disability Leave and Parental Leave, without direct involvement of the Office of Human Resources. Further, Department Heads are not authorized to reduce workload expectations in lieu of formally approved, long-term leave.

For tenure-track faculty, extended leave may be used as justification for a request to extend the probationary contract period. Faculty in this situation should consult the Handbook, section 8.1.1C, regarding the requirements of, and the process for, requesting a probationary contract extension.

Last Revision:

July 26, 2022

## 3.8 Office Space for Transitional and Emeritus Faculty

### Governing Policies

Section 4.1.4, Faculty Handbook – Transitional Faculty Appointments  
Section 4.1.5, Faculty Handbook – Emeritus Faculty Appointments

### Procedure

Faculty retirees on transitional appointments and fully retired emeritus faculty may be provided with office space according to the following guidelines. Space assignments and reassignments for faculty are at the discretion of the Department Head and are made with broad consideration of optimization of facilities use within that department's allocated space. At any time, reallocation of space within the department may result in fully retired or transitional faculty being asked to vacate their offices and/or lab space.

Last Revision:

June 10, 2022

## 3.9 Sabbatical Requests and Reports

### Governing Policies

Section 10.2, Faculty Handbook – Sabbatical Leave Policy

### Procedure

Once per year, Academic Affairs will solicit sabbatical requests from Faculty and Department Heads. Sabbatical requests are evaluated by the Board of Trustees on the basis of their merit, supported by the completeness of the required supporting documentation.

The request should be clearly articulated and submitted as a formal proposal from the faculty member and accompanied by a letter of support from their Department Head. The faculty member's request should contain the following using this template:

1. Faculty member's name, department, area(s) of expertise, length of service at Mines (start date), date of last sabbatical (if any), length of sabbatical requested.
2. A clear and complete description of the activities to be pursued should a sabbatical be granted.
3. A discussion of how the sabbatical will be of benefit to: 1) the faculty member, 2) to the department and Mines more generally as appropriate, and 3) Mines students.
4. The hardship imposed on the faculty member's colleagues or department should the sabbatical be granted, along with a detailed explanation of how the hardship will be ameliorated, and
5. A completed Sabbatical Request Summary, using the template linked [here](#).

Please note that the Board of Trustees has developed this form and mandates that it accompany all sabbatical requests. The form should be filled out completely (i.e., it should not contain one line answers that simply refer to the faculty member's or Department Head's memoranda) and it must be kept to one page.

The letter of support from the Department Head should clarify and add perspective to the requested sabbatical(s). Additionally, if more than one sabbatical is being recommended in the same department, the Department Head's letter of support should detail the number of requests for sabbaticals currently outstanding in the department, the areas of expertise involved, and how the department will handle multiple faculty absences over upcoming year. If a faculty member takes a one semester sabbatical, they receive full pay. If they take an academic year sabbatical (August through May) they receive 50% of their pay. For a calendar year

sabbatical (January through December, "a split year sabbatical" with two academic years impacted) they receive 75% of their pay in the first year and 75% in the second year.

All three documents must be submitted electronically to Academic Affairs by the date published as part of the Academic Affairs calendar.

**Sabbatical Reports** should include the following:

- A brief summary of the original sabbatical plans
- A summary of sabbatical activities/description of projects and accomplishments
- A summary of benefits and value to the faculty, students, department, and Mines

These reports should not exceed three pages in total.

A brief (150-200 word) abstract of the sabbatical report should be included with the final report. The abstract will be part of the report presented to the Board of Trustees on faculty sabbaticals. Please keep this audience and the word limit in mind. At the Board's request, faculty may be invited to make a presentation to the Board about their sabbatical.

**Final reports with abstract should be submitted within two months after the conclusion of the sabbatical** to the Department Head, who should submit a copy to the Dean.

Last Revision:

October 5, 2022

## 3.10 Instructional Development Assignment Requests and Reports

### Governing Policies:

Section 6.1.6, Faculty Handbook – Instructional Development Assignment

### Procedure:

The Colorado School of Mines recognizes and supports the efforts of its teaching-track faculty in delivering high-quality instruction to its students. Providing opportunities for faculty to improve instructional delivery is in the best interest of all of Mines constituencies. As such, Mines supports opportunities for teaching-track faculty to enhance their ability to implement state-of-the-art instructional methods at Mines.

Once per year, Academic Affairs will solicit Instructional Development Assignment (IDA) requests from Faculty and Department Heads. IDA requests are evaluated by the Provost and the AA Executive Team on the basis of their merit, supported by the completeness of the required supporting documentation. Details of the overall intent of the IDA program and faculty eligibility to participate in the program can be found in the Faculty Handbook, Section 6.1.6.

A faculty request to participate in an IDA should be clearly articulated and submitted as a formal proposal from the faculty member and accompanied by a letter of support from their Department Head. The faculty member's request should contain the following:

1. Faculty member's name, department, area(s) of expertise, length of service at Mines (start date), date of last IDA (if any), and semester for which the faculty is requesting the IDA.
2. A clear and complete description of the activities to be pursued should an IDA be granted.
3. A discussion of how the requested IDA meet the goals of the program.
4. The hardship imposed on the faculty member's colleagues or department should the IDA be granted, and
5. A completed IDA Request Summary, using the template linked here.

The form should be filled out completely (i.e., it should not contain one-line answers that simply refer to the faculty member's or Department Head's memoranda) and it must be kept to one page.

The letter of support from the Department Head should clarify and add perspective to the requested IDA and provide a detailed explanation of how hardships imposed by the faculty members alternate assignment will be remediated.

All three documents must be submitted electronically to Academic Affairs by the date published as part of the Academic Affairs calendar.

**IDA Reports** should include the following information:

- A brief summary of the original IDA plans
- A summary of IDA activities/description of projects and accomplishments
- A summary of how you will implement changes to your instruction, and benefits and value to you, your students, your department, and Mines

These reports should not exceed three pages in total.

A brief (150-200 word) abstract of the IDA report should be included with the final report. At the Provost's request, faculty may be invited to make a presentation to the Board about their IDA.

**Final reports with abstract should be submitted within two months after the conclusion of the IDA** to the Department Head, who should submit a copy to the Dean.

Last Revision:

October 5, 2022

## 3.11 Gift Ban

Amendment 41 (also known as Article XXIX of the Colorado Constitution) was passed by Colorado voters in 2006 and bans legislators, government employees and their immediate family from accepting gifts worth more than \$50. Colorado's Independent Ethics Commission (IEC) issued a position statement to clarify gift ban provisions of Amendment 41.

In its position statement, the IEC found the following items permissible, notwithstanding the gift ban, on the basis that there is "lawful consideration of equal or greater value" exchanged:

- **Scholarships** granted to public employees' and officials' spouses or dependent children
- **Insurance proceeds**

- **Honoraria** provided to public employees and officials for speaking before “business or civic groups” and writing publications, provided that:
  - Delivering the speech or writing the publication is not part of the public official/employee’s official duties;
  - Public resources are not used in the preparation of the speech or publication (including computers, telephones, staff, etc.);
  - Government time is not used for the preparation or delivery of the speech or publication;
  - The amount of the honorarium is reasonably related to the services the employee/official is being asked to perform; and
  - Neither the sponsor of the speech nor the source of the honorarium is a person or entity with whom the public employee/official has had, or reasonably expects to have, dealings in their official capacity.

The IEC also found the following permissible on the basis that accepting such items “is not a breach of public trust” because they are offers or benefits given to the general public or a class of people under circumstances where others receive the same opportunity, and public employees/officials should not be penalized because they hold government positions:

- **Prizes** (including scholarly recognitions such as the Nobel Prize)
- Items won in **raffles, lotteries and silent auctions**

Finally, the IEC found the following permissible on the basis that gifts made in the context of family or personal relationships are “not a violation of the public trust” because it is the close personal relationship between the parties that is the controlling factor in such situations, not the potential to influence official action:

- **Inheritances**
- **Gifts or other things of value given by relatives or personal friends, provided that:**
  - It can be shown that it is a family or personal relationship rather than the governmental position that is the controlling factor; and
  - The public employee/official’s receipt of the gift would not result in or create the appearance of: using his or her office for personal benefit; giving preferential treatment to any person or entity; losing independence or impartiality; or accepting gifts or favors for performing official duties.

If you have specific concerns or questions regarding the gift ban, please bring them to the attention of Office of General Counsel so that they may assist in resolving those.

Last Revision:

July 18, 2022

## 3.12 Mines Research Incentive Program

The Mines Research Incentive Program (MRIP) is an incentive program to compensate faculty for engaging in extensive research activities while continuing to maintain their standard responsibilities in teaching and service. MRIP is intended to enable the hiring, rewarding and retaining of top researchers; incentivize excellence in research and scholarly productivity; and enhance the overall Mines research portfolio. MRIP incentivizes research-active faculty by allowing those that meet the

eligibility requirements to use external funding sources to increase their total compensation up to 30%.

### Eligibility

To apply and to be eligible for consideration for the MRIP, faculty must meet the following criteria:

1. Full-time tenured and tenure-track faculty, as defined in the Faculty Handbook, and full-time Professors of Practice supported entirely on the General Fund during the academic year.
2. Faculty must be in good standing according to the following criteria:
  - a. Have annual evaluations of “meets expectations” of higher in the overall performance category in their last three review cycles (not required for new hires bringing in sufficient funding to participate in this program).
  - b. Fulfill university teaching expectations (considering both student credit hours and courses taught), as approved by the Department Head and portfolio Dean.
  - c. Fulfill all research support responsibilities and staffing, including but not limited to funding current and incoming graduate students (stipend, tuition, fees and benefits), postdoctoral positions, and staff research positions within research groups. Financial resources may not be diverted by these commitments to fund MRIP participation.
  - d. Fulfill all Mines service activities commensurate with rank.
  - e. Have all research programs in good standing (i.e. no outstanding deliverables, no projects in unauthorized deficit, etc.).
  - f. Comply with all Mines Policies as published on the Mines Policy Library website.
3. Faculty must have a three-year annual average of research expenditures from external sources that is greater than \$450,000, and have a record of using those funds to fully fund the salary and tuition for the equivalent of four or more graduate students per year (this can be satisfied by fully funding four students or by partially funding multiple students, provided that the cumulative salary and tuition support for all students funded is equivalent to the amounts required to fully support four students). Newly hired faculty transferring a research program to Mines must document their satisfaction of this requirement through data at their previous organization.
4. Faculty must document that they have maximized, or fully supported, their Summer and Winter Salary for the past three years. Academic Faculty are eligible to earn up to 75 days of additional compensation for research, teaching or administrative work performed over the summer and winter breaks. This salary can be provided from internal and external funding sources. Summer and Winter Salary must fully cover the number of available days as determined by the Academic Affairs Procedural Manual.

Those NOT eligible to participate in the MRIP include: faculty on a Leave of Absence, paid or unpaid, during the applicable program period (September 1 – August 31). Faculty on approved Sabbatical Leave may still be considered if they will perform research as part of their approved Sabbatical Leave plan.

## Program Requirements

### Program Period

Eligible faculty will submit an MRIP application annually, in accordance with Mines Research Incentive Program Process and Procedures. An approved MRIP compensation adjustment will be effective for the upcoming program period, defined as the twelve-month period corresponding with the Academic Year plus the following summer that starts September 1 and ends August 31.

Retroactive participation, and backdated or untimely applications will not be permitted. Renewals are not automatic. Continuing participating in MRIP requires the timely submission and approval of an annual MRIP application.

### Funding Requirements

Funding for the MRIP program must be generated by the faculty member and is subject to the following requirements:

- Must be external research funding with no exception. This includes externally-sponsored research, funded research, specific joint appointments or research specific gifts. These funds are designated in the financial system as funds that start with 4xxxxx or 6xxxxx. Internal funds, such as the General Fund, research and professional development funds, Mines cash-funded cost share, or other external funding such as auxiliary, technical services and continuing education program revenue are not eligible MRIP funding sources. In no circumstance can General Funds be substituted for external funding.
- Funding obligations must, without exception, be sufficient to cover the MRIP salary component for the entire program period and be received by Mines at the time of the MRIP application submission. Funding received after application submission will be considered in the subsequent program period. The MRIP salary component is the approved annual salary adjustment provided under the MRIP, capped at 30% of Academic Year salary.
- Funding sources must not include any cost restrictions that would prohibit the implementation of the MRIP. For example, funding sources that impose salary or benefit caps that equate to institutional cost share are not eligible MRIP funding sources. All salary charges to research programs must still be compliant with Mines' Allowable Cost Policy.

### MRIP Salary Component Calculation

The MRIP salary component will be determined using the following considerations:

- The maximum MRIP salary component for tenured and tenure-track faculty and Professors of Practice is 30% of their Academic Year salary, the nine-month base salary that is identified in a faculty member's contract and corresponds to a normal academic faculty work load, as outlined in the Faculty Handbook.
- The MRIP salary component will be constrained and determined by the available funds that meet the funding requirements. If eligible funding can only support a lower percentage than the maximum allowable amount outlined above, the available funding amount will govern the final MRIP calculation.
- The following chart should be used as guidance for determining the MRIP Salary Component:

Annual Expenditures *	Students Supported #	Anticipated MRIP Salary Component ##
\$750k+	# 6	21 - 30%
\$600 - 750k	# 5	11 - 20%
\$450 - 600k	# 4	0 - 10%

\* Average over past 3 years

# MS and PhD students

##Maximum MRIP Salary Component for Department Heads: 20% of Academic Year Salary.

### Other Considerations

The following are other considerations that relate to the MRIP:

- To accommodate MRIP, faculty are permitted to budget academic year days into externally-funded research proposals.
- Faculty members' total compensation will be charged to identified funding sources with the appropriate fringe benefit charges. Total compensation consists of a faculty member's Academic Year salary, Summer and Winter salary and the MRIP salary component, and is considered compensation under the Mines Defined-Contribution Plan (MDCP) and PERA Defined Benefit Plan (PERA), and for tax purposes.
- External consulting and other externally compensated activities will continue to be permitted in accordance with Mines' policies. MRIP participants should anticipate greater scrutiny with regard to consulting approval requests given that there will be less time available for consulting due to the commitment they are making to external funding sources.
- Any adjustments to Academic Year salary due to annual performance reviews or the promotion review process are independent and not influenced by the MRIP.

### RESPONSIBILITIES

The academic faculty member is responsible for generating the MRIP eligible funds, submitting an MRIP application, and maintaining their eligibility status for the program period. MRIP faculty members are also required to provide any additional information needed to evaluate their application or report on the program at large.

The Department Head and Dean are responsible for reviewing the MRIP application and making a recommendation to the Provost for approval. The Department Head and Dean are also responsible for monitoring approved MRIP applications.

The Provost is responsible for reviewing recommended applications and providing institutional approval.

The Office of Academic Affairs is responsible for reporting faculty participation in the MRIP to the President and Mines' Executive Team annually.

### COMPLIANCE/ENFORCEMENT

Compliance with the requirements of this program will be monitored by applicable Department Heads and Deans. In instances of non-compliance, a faculty member's participation in the MRIP will be terminated.

Last Revision:



October 5, 2022

## 3.13 Course Chargeout and Buyout

### GOVERNING POLICIES

Section 6.1.2, Faculty Handbook – Teaching Assignment Guidelines

Faculty are eligible to chargeout of a course by charging their salary to a research grant in lieu of the regular source of funding. Faculty may seek academic chargeout to support research or other campus initiatives. Faculty need permission for a chargeout from their Department Head and Dean. Once approval is granted, an HR form will need to be submitted to payroll to reallocate the faculty funding from the department's general operating index to the charge out index. Salary and fringe savings from General Fund chargeouts go toward Academic Affairs' adjunct budget. The rate is 12.5% for the one-course chargeout, which means 87.5% of the faculty member's salary comes from the general fund and 12.5% from the grant. The money left in the general fund can be used to hire an adjunct. Faculty cannot chargeout of their last course (they must teach at minimum one course per semester, and a student credit hour minimum may be required). Refer to Faculty Handbook Section 6.1.2 regarding teaching assignment guidelines.

Course buyout occurs when someone has some source of money that is used to pay an adjunct to give teaching release to a faculty member. In this case the faculty member is paid their whole salary from general fund. Course buyout is for internal administrative arrangements, not something faculty instigate individually.

Last Revision:

November 11, 2022

## Section 4 - Faculty Hiring and Termination

- 4.1 Requirements for Conducting Formal Faculty Searches (p. 16)
- 4.2 Hiring Process for Academic Faculty (p. 16)
- 4.3 Visa and Immigration Protocol for Appointing Foreign Tenured or Tenure Track Faculty (p. 19)
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### 4.1 Requirements for Conducting Formal Faculty Searches

#### GOVERNING POLICIES

Section 4.5, Faculty Handbook – Faculty Selection Process

Section 4.7, Faculty Handbook – Faculty Appointment Process

### PROCEDURE

The following policy defines the process by which faculty and associated research titles can be employed by Mines. If a formal search process is required, this process is conducted as defined in Section 4.2 of this Procedures Manual.

- **Tenure, Tenure-Track Faculty:** All Tenure and Tenure-Track Faculty positions must be filled through a formal search process.
- **Teaching Faculty and Professor of Practice:** All Teaching Faculty & Professor of Practice positions must be filled through a formal search process.
- **Chaired Visiting Professorships:** All chaired visiting professorships must be filled through a formal search process.
- **Exempt Positions:** All exempt positions expected to last for more than one year must be filled through a formal search process, except in those cases where the position holder brings the full funding. In these cases there can be no commitment, expressed or implied, from the institution. The Fair Labor Standards Act (FLSA) is best known as the law determining the exempt or nonexempt status of jobs and overtime requirements. To determine if a job is exempt (not subject to overtime) or nonexempt (required to be paid overtime at time and a half), the FLSA uses a series of exemption tests; more information can be found on the FLSA website and there are also positions which can be exempted from the State Personnel System that MAPS will help clarify depending on hiring needs.
- **Adjunct Positions:** Adjuncts can only be hired on a part-time basis (Note: definition of "part-time" is available through the Office of Human Resources) and a formal search is not required, although it may be conducted at the discretion of the Department Head.
- **Research Faculty, Postdoctoral Appointments and Non-Chaired Visiting Faculty:** Formal searches for research faculty positions and non-chaired visiting positions, whether for teaching or research, are required whenever the appointment is expected to last for more than one year. In cases where the timing of a contract requires expeditious appointment and when an individual has been identified, appointment can be made with an abbreviated search that includes formal consideration by the supervisor, the Department Head, and the Dean. Formal review at the end of one year is required for reappointment. Renewal of all research, non-chaired visiting faculty, and postdoctoral appointments after the first period is subject to satisfactory performance as determined by the Department Head.
- **Department Heads and Deans:** The decision on whether or not to conduct external searches for Department Heads, Deans and other administrative positions, when filling from within the department, will be made by the Provost on a case-by-case basis.

Last Revision:

July 6, 2023

### 4.2 Hiring Processes for Teaching and Tenure-Line Faculty

#### GOVERNING POLICIES

Section 4.2, Faculty Handbook – Definitions

Section 4.3, Faculty Handbook – Graduate Faculty Status

Section 4.4, Faculty Handbook – Minimum Qualifications for Faculty Ranks

Section 4.5, Faculty Handbook – Faculty Selection Process

## PROCEDURE

### Search Request

To seek and receive approval for a new hire, the following procedure should be followed:

- a. **Development of the budget request:** As part of the annual budget process, during the Spring semester, the Provost shall consult with the Deans to construct a hiring budget request for the upcoming year. The Provost and Deans, based on input received from academic and administrative Department Heads and Program Directors, will develop this plan. For new hire requests Department Heads should provide, as requested by their Deans 1) an overall rationale/need for the position, 2) fit of the request into the academic/strategic plan for the unit, 3) fit of the request into the strategic plan for the institution, 4) estimated starting salary, 5) estimated startup needs, and 6) estimated space requirements. In late spring and summer, at the conclusion of the budget process, the Provost will work with the Deans to augment or amend the hiring plan as required by approved budget or recently developing staffing needs.
- b. **Hiring approvals and starting the search process internally:** The Deans will inform their academic Department Heads and Program Directors with an approved hiring list for the academic year by August. At this point, the Department or Program may formally start the search process. To start the search process, the Department Head or Program Director should:
  - a. Following consultation with departmental or program faculty, the Department Head or Program Director shall appoint and charge a search committee and chairperson. The committee composition should reflect institutional values of diversity and inclusion. The search committee shall not include the Department Head or Program Director. The search committee shall be comprised of at least five faculty members, more than half of whom are from the hiring department. In the case of interdisciplinary hires, the search committee should have an academic faculty member from each home department participating in the program and may not include Department Heads from any of these departments. At least one committee member must be from outside the department.
  - b. For hires of library faculty, following consultation with appropriate constituency groups, the University Librarian shall appoint a faculty search committee, including a committee chairperson. The search committee shall be comprised of not less than five faculty members, more than half of whom are library faculty. At least one committee member must be from outside the library.
  - c. In consultation with departmental or program faculty, and the Department Head or Program Director, the search committee shall prepare the advertisement and search selection criteria. Prior to placing any job announcements, the advertisement and selection criteria must be reviewed by Human Resources for Equal Employment Opportunity (EEO) and Affirmative Action compliance. The vacancy shall then be advertised in appropriate publications or venues.
  - d. Submit a requisition to hire. Complete the search package (i.e., outreach strategy, position advertisement, and selection criteria). The search chair works with Human Resources to create an outreach strategy, position advertisement and selection criteria.

The Dean will approve and forward the package either to HR for search initiative, or in some cases to the Provost for additional review and approval.

### Search Process

Once final approval has been received, the search may proceed as follows:

- a. **Advertising:** As soon as possible after HR and Dean approval of the advertisement and selection criteria, HR will place the advertisement in the venues recommended by the search committee and approved by the Department Head or Program Director. The search committee and associated faculty are encouraged to proactively reach out to appropriate colleagues at other institutions to expand the pool of candidates who apply for the position. The outreach plan must include efforts to attract a thriving and diverse employee community.
- b. **Training:** After the Office of Human Resources approves the selection criteria and places the advertisement, the Committee must be formally trained. The Office of Human Resources will inform the Committee of upcoming opportunities for meeting the formal training requirement.
- c. **Selection of finalists:** The faculty search committee performs the applicant screening process and identifies qualified candidates. Once an initial list is generated, the search committee should arrange to conduct screening interviews with all of the candidates on this initial list. Based on the candidates' performances on these initial interviews, the search committee will determine the list of candidates that they would like to bring to campus; they will then work with the Department Head or Program Director to develop a recommendation as to which candidates, if any, should be invited to campus for interviews as finalists. Normally, the search committee will identify a minimum of three finalists. If fewer than three finalists are identified, the faculty of the hiring department or program, along with the Dean, should be consulted as to whether the search should proceed.
- d. **Recommendation:** Once the committee has narrowed the search to their finalists, the committee must formalize its recommendation in memo format to the Department Head or Program Director (or directly to the Dean if the committee reports directly to a Dean). This memo should include a summary, based on the selection criteria, to justify the choices of the most promising candidates. The Department Head or Program Director will discuss the recommendation with the Dean and, if both agree on the recommendation, both will sign off on the Committee recommendation memo and return it to the search committee chairperson. If either disagree with the recommendation, they will provide appropriate input to the search committee chairperson that determines the path forward. The Search Committee Chair shares the approved memo and submits a copy to HR and Academic Affairs.
- e. **References:** Once the finalists are determined, the Office of Human Resources, in coordination with Search Committee Chair, shall contact their references for recommendation letters (3 letters per candidate) prior to inviting them to campus for on-site interviews. In cases where the committee would like to expedite the process of bringing candidates to campus, the search committee chair will organize telephone or Zoom conversations with the references where at least 2 search committee members are present. The questions asked of the various references should be similar for reasons of equity.

## Interview Guidelines

Interviews of faculty candidates, whether tenured, tenure-track or teaching-track, should conform to the following guidelines:

- a. The finalist(s) shall be interviewed by the search committee and members of the department/program, other departmental/program faculty if appropriate, and the administration. Following interview(s), the search committee and Department Head/Program Director shall work with the faculty of the department(s)/program(s) to develop the hiring recommendation as defined below. Minimum guidelines for administrative interviews are listed below.
- b. During the interview process, the Search Committee Chair should ask the candidate: "who may we not contact regarding your candidacy for a position here at the Colorado School of Mines?" This allows a candidate to set boundaries on reference checks regarding their professional track record.
- c. The final candidate is invited for a second interview with the Provost and President as they manage the overall hiring portfolio.

### For All Teaching and Tenure-Line Interviewing Candidates

Interviewer	Dean	DH	Chaired Position	Tenured Faculty	All Ranks Tenure-Track & Teaching Faculty
President & Provost (together)	30 minutes	30 minutes			
Provost (only)			30 minutes		
Vice Provost	30 minutes	30 minutes			
EVP & COO	30 minutes				
VP for Research & Tech Transfer (VPRTT)	30 minutes	30 minutes	30 minutes	30 minutes	
Portfolio Dean	60 minutes	60 minutes	60 minutes		

Deans may choose to interview the candidate for a longer time period or to be present in multiple interview venues.

The Provost may delegate their interview to another individual.

Any of the above listed members of the senior administration may choose to have additional meeting(s) with the candidate.

### For the FINAL Candidate

Interviewer	Dean	DH	Chaired Position	Tenured Faculty	All Ranks Tenure-Track & Teaching Faculty
President & Provost (together)	Above	Above	30 minutes	30 minutes	30 minutes
EVP & COO	Above	30 minutes			
Vice Provost	Above	Above			30 minutes
Portfolio Dean	Above	Above	Above	30 Minutes	30 Minutes

## Decision and Hiring Processes:

- a. The faculty of the Department(s)/Program(s) shall be involved throughout the hiring process for the Department(s)/Program(s). In developing their recommendations, the Search Committee and Department Head/Program Director must seek faculty input and are encouraged to use an evaluation form. The form should include solicitation of information concerning how actively each faculty member participated in the interview process and how participation should be considered in the deliberations and voting. All tenure-line and teaching faculty in the department/program, including the Department Head/Program Director, faculty on sabbatical, and those faculty members serving on the faculty search committee, are eligible to provide input based on their interaction with the candidate. Regardless of specific approach, faculty outside of the search committee and the Department Head/Program Director will be canvassed concerning the hiring recommendation. In the case of interdepartmental hires, the faculty of each department should develop hiring recommendation(s) in this manner.
- b. The Department Head/Program Director shall call a meeting to discuss the faculty candidates that were interviewed. At this meeting, the Search Committee Chairperson shall present the results of the faculty input, the recommendation of the Search Committee based on the faculty input and any other information they wish to include for discussion. The Department Head/Program Director shall then attempt to get to a consensus about which candidates are suitable and which are not as well as to prioritize the ones that are suitable for receiving offers. If a consensus cannot be reached, the Department Head/Program Director shall conduct a secret ballot requesting this information (suitability and ranking of candidates). For the latter, the Department Head/Program Director shall provide the results to the faculty for their information. The Department Head/Program Director, or Department Heads in the case of joint appointments, shall fully and accurately convey the hiring recommendation of the faculty, the recommendation of the search committee, and the Department Head's views to the Dean or Provost, as applicable. The Department Head/Program Director shall also submit all required materials and forms. If an offer of tenure is being considered for a new faculty member, the Departmental Promotion and Tenure Committee, or Committees in the case of joint appointments, shall be involved as set forth in section 8.1.7 B of the Faculty Handbook.
- c. The Dean or Provost, as applicable, shall make the final hiring decision after consultation with the Office of Human Resources to assure the search has met EEO and Affirmative Action requirements. If this decision differs from that of the hiring department(s), the

Dean or Provost shall discuss this matter with the faculty of the hiring department(s) before extending a formal offer.

- d. If the search is for an opportunity hire, the process above may be modified by the Dean or Provost, as applicable, in consultation with the hiring department, or departments in the case of joint appointments, except that no modification to the process may be made with respect to the EEO and Affirmative Action reviews conducted by Human Resources. However, the hiring department, or departments in case of joint appointments, shall develop the recommendation of the faculty of the department(s) using the evaluation process described above.
- e. The Dean, Provost and President must provide approval on the hiring action before any offer, verbal or written, is made. As a part of the approval, the Provost and/or Dean will provide, in writing, an approval for salary. At the discretion of the Dean, the Dean or Department Head will contact the candidate and start the hiring conversation that will proceed by setting an acceptable academic salary and then determining the startup needs for the candidate. Academic Affairs will provide a worksheet to help determine startup packages for the candidates to be used by the negotiator to help determine the startup needs for the candidate. The Dean and Department Head will work together to set an appropriate startup package for the candidate. Once the hiring package is set, the negotiator will convey this to the candidate.
- f. Moving allowance – AA typically provides \$5k for new teaching and tenure-line hires. Supplements to this allowance by departments are considered and require Dean approval.
- g. Once a verbal agreement is made, the Department Head or Dean should request from Academic Affairs, an offer letter and contract, which will include offers for salary, startup funding, and moving costs. In the case of candidates that need to be immediately considered for tenure, this offer letter should request what materials, if any beyond the application package, are required for consideration of the tenure decision. Formal letters of offer should include all commitments made to the candidate (e.g., those from AA, the Department, VPRTT, etc.). In order to move forward with an offer that is tied to tenure, the candidate must sign a contractual agreement that accepts our offer if we do in fact award tenure. The Department Head or Dean may elect to include an additional letter to be sent with the formal offer letter from Academic Affairs that provides information about departmental resources applied to the startup needs for the individual such as, office space, teaching relief, etc. Any space allocation commitments must be formally made by the appropriate Dean.
- h. If the candidate accepts the offer, they will sign the contract. Copies will be provided to the Department and the Office of Human Resources.
- i. Once an offer has been accepted, the Department and Search Chair will be notified. The new hire will receive onboarding information and instructions via email.

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July 6, 2023

## 4.3 Visa and Immigration Protocol for Appointing Foreign Tenured or Tenure Track Faculty

Acquisition of United States entry and initial employment visas for new tenured, tenure-track, and other teaching and research faculty members

hired from foreign countries will be facilitated through the Offices of Legal Services and Academic Affairs. The Colorado School of Mines will file the appropriate supporting documents with the United States Citizenship and Immigration Services (USCIS), and the Mines hiring department will pay the required USCIS filing fees for the initial visas and renewal of visas for these faculty members. The visa application process will commence upon issuance of a formal request from the Department Head and/or Dean to Legal Services, and the application for the initial employment-based visa will normally be done in conjunction with the acceptance of an employment offer to the faculty member. Mines will work with local immigration counsel to obtain both the initial employment-based visa and subsequent visa extensions for these hires. Typically, the hiring department, with the assistance of Academic Affairs, will be expected to fund the expenses and fees incurred by Mines for these legal services. Any expenses and fees associated with the faculty member's dependents' visas must be funded by the faculty member personally, utilizing personal resources.

Most of our foreign faculty hires will utilize one of two visa categories: the H-1B visa for "Specialty Occupations" or the O-1 visa for foreign nationals of extraordinary ability in the sciences, arts, etc. In the case of the H-1B, legal counsel will need detailed information from the applicant and the hiring department regarding the applicant's anticipated position at Mines and the applicant's visa/immigration history. Department Heads or Deans will be asked to assist in acquiring the necessary information from the applicant. Applications for O-1 visas will be submitted on a case-by-case basis. The information needed is comparable to that of the H-1B, except for the additional requirement of peer reviews and evidence of unusual distinction.

Initial employment visas will typically expire after a period of three years. Mines will expect immigrant tenured, tenure-track and other approved faculty who are on such visas to take personal responsibility for initiating the process for visa renewal or application for permanent residency, and to do so within a timeframe that is consonant with visa expiration dates and the expected petition review and approval periods required by the USCIS. Mines will assist with visa extensions or renewals, but will not provide legal representation or fund USCIS filing fees for immigrant faculty who are seeking permanent residency status (also known as the "Green Card"), except to the extent federal law or regulations require Mines, as an employer, to subsidize or assist the employee with legal representation or USCIS fees for any aspect of the permanent residency application process. Mines will also assist with labor certifications (as needed for visa renewal or permanent residency applications) by confirming the employment status of immigrant faculty at the Colorado School of Mines and providing required supporting documentation.

On a case-by-case basis, Mines may assist with H-1B applications for foreign research professors or post-doctoral fellows who intend to reside in the United States and expect to have long-term appointments at the Colorado School of Mines. Requests for such assistance should be channeled through the Office of Academic Affairs, where they will be reviewed in the context of the expected long-term value that Mines will acquire through the professional services of the individual. The application materials will normally be forwarded to immigration counsel for all legal services leading up to issuance of the visa. Filing and legal services costs will be borne by the hiring department utilizing project accounts or departmental discretionary funds, as appropriate and pursuant to Mines's fiscal policies and procedures.

In cases where temporary foreign faculty hires (visiting professors for terms less than three years) are best suited to the J visa, the application will be processed through the International Student Office. This Office

has appropriate authority and expertise in processing J visas, and will be asked to provide assistance on an as-needed basis for temporary foreign faculty positions. It is illegal for the Colorado School of Mines to employ any foreign employee who does not have a valid employment visa or permanent residency, or lacks appropriate documentation evidencing their eligibility for employment in the United States. If a faculty member is unable to procure the required work authorization or visa status to ensure such authorization, or the visa status ensuring such authorization expires, federal law may require Mines to take immediate steps to terminate the faculty member's employment.

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October 5, 2022

## 4.4 Required Documentation for New Mines Faculty

Upon hiring, the following documentation should be submitted to Academic Affairs for all new faculty, including academic, adjunct, research, those with no remuneration, etc.:

1. CV or resume
2. Original, official transcript for the highest degree (required only for faculty with teaching duties).

These documents are required by Mines' accreditation agencies.

Per Colorado Revised Statute §22-61-104, all Mines faculty and staff members who teach, with the exception of non-tenure track faculty and staff members who are employed to teach in a temporary capacity *and are citizens of a nation other than the United States*, are required to take the following oath or affirmation:

*I solemnly (swear) (affirm) that I will uphold the constitution of the United States and the constitution of the state of Colorado, and I will faithfully perform the duties of the position upon which I am about to enter.*

This oath or affirmation must be completed in writing prior to commencement of teaching and a copy of the signed oath or affirmation will be retained in the employee's personnel file per Handbook 6.2.1.

Last Revision:

October 5, 2022

## 4.5 HIRING RESEARCH AND AFFILIATE FACULTY, GUIDELINES FOR JOINT APPTS AND INTERDISCIP. PROGRAMS

### GOVERNING POLICIES

Section 4.5.2.C, Faculty Handbook – General Outline of Faculty Recruitment and Selection Process

### PROCEDURE

Please complete the information on the appropriate form on the Academic Affairs page (under "Commonly Used

Forms") when requesting new Affiliate Faculty, Research Faculty and External Joint Appointments.

### Definitions

**Ranked Research Faculty:** Ranked Research Faculty (RF) refers to faculty members whose primary responsibilities are obtaining research funding, performing research, and advising or co-advising thesis-based graduate students. The Ranked positions include Research Professor, Research Associate Professor, and Research Assistant Professor.

**Other Research-Related Titles:** Research Support (RS) positions support the research enterprise at Mines by performing research within a specific lab, mentoring students, managing highly specialized equipment or performing administrative support functions. These positions include Post-Doctoral Fellows, Research Associates, Research Technical Professionals and Research Administrative Professionals.

**Non-remunerated Research Positions:** Non-remunerated research (NMR) positions are appointments granted to individuals that do not include a salary. Typical examples are External Joint Appointees, Affiliate Faculty and Ranked Research Faculty who are transitioning into or out of a tenure-track role.

### Hiring Ranked Research Faculty

The hiring of research faculty should follow the processes outlined in Handbook Section 4.5 and the "Process for Appointing Affiliate Faculty, Research Faculty and Joint Appointments" form linked on the Academic Affairs page above, and includes giving a seminar for faculty and students, meetings with faculty and students, and a vote of the tenure-line and teaching faculty. Any position with a term of longer than 6 months must be posted for a minimum of 5 days.

Questions about a potential hire that must be answered prior to initiating a search include:

- How will they enhance Mines' science and technology strategy?
- How will they help create new science, and enhance the reputation of both institutions?
- How will they build specific collaborations in an area of strategic importance to Mines?
- How will they grow new programs because of access to specific sponsors through the laboratory?
- How will they help retain key faculty by providing new opportunities?
- How will they develop a student pipeline for the future workforce in a specific area?

### Hiring Other Research-Related Titles

The Principal Investigator requests creating the position. Positions require approval of the Department Head and Dean. The search process is outlined in Handbook Section 4.5. Any position with a term of longer than 6 months must be posted for a minimum of 5 days.

### Appointing External Joint Faculty

Conferral of this status requires the approval of two-thirds of departmental or program tenured and tenure-track faculty, approval of the Department Head or Program Director, Dean, and Provost, and appropriate approvals from the laboratory/employer supporting the Joint Faculty member. External Joint Appointments can only be made with external institutions with which we have a Memorandum of Understanding.

## Setting Up Internal Joint Appointments

When hiring new faculty who will be jointly appointed between two or more departments, a memorandum of understanding between department heads for that faculty should be complete and submitted to the appropriate academic Dean(s). An example letter is provided below that can be adapted as needed. The details of each letter are up to the Department Heads, to be approved by the appropriate Dean(s).

### **Example Memorandum of Understanding for a Joint Appointment Between [Department 1] and [Department 2] for Dr. [insert faculty name]**

This Memorandum of Understanding (MOU) is between the Colorado School of Mines Departments of [Department 1] and [Department 2]. The purpose of this MOU is to describe the terms and process by which Dr. [insert faculty name] will be assigned teaching, research and service responsibilities as well as how these responsibilities will be evaluated relative to tenure and/or promotion.

Dr. [insert faculty name] will have a %-% breakdown between Departments [Department 1] and [Department 2]. While Dr. [insert faculty name]'s primary faculty position at Mines will consequently be in [Department 1], the appointment is made with the understanding that their training, experience, and research will benefit students in both Departments.

## ANNUAL REVIEWS, PRELIMINARY TENURE REVIEWS, AND TENURE AND PROMOTION

[Department 1] will have primary responsibility for preparation of any tenure and/or promotion dossier. Dr. [insert faculty name] will be considered for promotion and tenure in [Department 1] and will follow [Department 1]'s standards for tenure and/or promotion. (*Note that another option would be that both departments evaluate the files, according to their bylaws, on tenure. If [Department 2] decides against awarding tenure, for example, but [Department 1] decides positively, the faculty member would simply have tenure in [Department 1] and no longer be part of [Department 2].*) Appointed by the two Department Heads, a review committee consisting of senior faculty from both departments, as well as other senior faculty with expertise on [faculty member's disciplinary area], will be responsible for providing the Department Head of [Department 1] with input for a third-year review as well as a review for any tenure and/or promotion dossier. Moreover, the Department Heads of both departments will work together to seek external reviewers that will write letters for promotion and tenure and can specifically address the contributions and impact of the scholarly work evaluated for tenure and/or promotion. The Department Head of [Department 1] will take the lead in writing drafts of reviews. After feedback from the Department Head of [Department 2], the Department Head of [Department 1] will write the final draft. Both Department Heads will approve the faculty member's annual review.

## TEACHING

Dr. [insert faculty name]'s normal teaching load will be flexible and include opportunities for courses in both [Department 1] and [Department 2]. The teaching load will be appropriate to rank and research activity as established by the Mines Faculty Handbook. Courses will be assigned in accordance with the faculty member's disciplinary training and research interests. The teaching load will be split. *put details here*. Both departments may conduct peer observations of teaching of the faculty member. Any courses taught by Dr. [insert faculty name], regardless of the Department in which the course is assigned, will be included in any

course evaluations and promotion and tenure considerations, as part of the regular teaching load.

## SERVICE

Both departments will recognize that a significant portion of the faculty member's service responsibilities will be with the [External Interdisciplinary Program, if appropriate], which benefits both departments and should be included in evaluation of faculty member's service in annual reviews and merit raise decisions. Otherwise, the faculty member:

- Is expected to attend department meetings in both departments when possible.
- May be asked to advise undergraduates after the first year, but will only be assigned 50 percent of advisees regularly advised by faculty in each department.
- May serve on major committees (i. e. search committees, executive or advisory committees, etc.) of either department, but not concurrently.
- May be asked to attend recruiting events for both departments.

## OFFICE

Dr. [insert faculty name] will have a permanent office in [Department 1] and will have office space for office hours and other needs in [Department 2].

## MERIT RAISES

As the faculty position resides primarily in the [Department 1], the budget line and salary will reside completely within the [Department 1]. The Department Head of [Department 1] will be responsible for meeting at least annually with the Department Head of [Department 2] to determine teaching responsibilities, evaluate annual reviews as noted above, and make merit increase recommendations.

_____	_____
Dr. X, Department Head of [Department 1]	Date
_____	_____
Dr. Y, Department Head of [Department 2]	Date
_____	_____
Dr.Z, Dean of [Portfolio]	Date
_____	_____
Dr. [insert faculty name]	Date

## Faculty in Interdisciplinary Programs (IDPs)

A letter of agreement should also be developed between Department Heads and Directors of IDPs for faculty whose participation is required for an IDP to be a viable program. The formal agreement should, at a minimum, include the following:

1. The percentage of faculty appointment that is in the IDP as it relates to teaching and service.
2. Expectations as to which centers/departments program-related research will be run through.
3. How the faculty appointment will be handled in the case that the IDP ceases to exist.

The following items could also be considered when establishing the formal agreements for IDP faculty, but may not apply in all cases:

1. Is the home department or the IDP responsible for providing administrative support, office space, laboratory space and/or laboratory access for the IDP faculty member?
2. Is the home department or the IDP responsible for providing administrative support and/or office space for students enrolled in the IDP and advised by the IDP faculty member?
3. Will there be expectations (publication requirements, seminar attendance, thesis procedures, service requirements, etc.) imposed by the home department on students enrolled in the IDP and advised by the IDP faculty member?
4. Will departmental resources (funding, travel grants, recruiting fellowships, etc.) be available to support students enrolled in the IDP and advised by the IDP faculty member?

A copy of this letter should be signed and kept by the DH, IDP Director, and IDP faculty member.

## APPOINTMENT TERMS

Titles for Mines Appoint	Salary	Benefit	Duration	Renew	Annual Evaluation	Provisional lab space	Provisional office space	Provisional email, access to campus
Research aP, AP, P	Yes, from external funds or IDC for bridge funding	Yes, if >50%	Flex	Yes	Yes	Negotiable	If available	Yes
Research Associate	Yes, from external funds or IDC	Yes, if >50%	Flex	Yes	Yes	No	If available	Yes
Research Technical Professional	Yes, from external funds or IDC	Yes, if >50%	Flex	Yes	Yes	No	If available	Yes
Research Support Staff (I-V)	Yes, from external funds or IDC	Yes, if >50%	Flex	Yes	Yes	No	If available	Yes
Postdoctoral Fellow	Yes, from external funds or IDC	Yes, if >50%	<=3 yrs	Yes (up to 3 yr total)	Yes	No	Yes	Yes
Affiliate Faculty	No	No	<= 3yrs	Yes	No	No	No	No

ExternalNo+ No Flex Yes No No No Possible Joint Appointees

## APPOINTMENT PROCESS

Titles for Mines Appointments	Initial request by?	Approval Chain	Promotion possible?
Research aP, AP, P	DH*	DH, DP&T, Dean, Provost	Yes
Research Associate	Faculty or DH	DH, Dean	No
Research Technical Professional	Faculty or DH	DH, Dean	No
Research Admin Professional	Faculty or DH	DH, Dean	No
Research Support Staff (I-V)	Faculty or DH	DH, Dean	Yes
Postdoctoral Fellow	Faculty	DH	No
Affiliate Faculty	Faculty	DH, Dean	No
External Joint Appointees	Faculty	DH, Dean, VPRTT	No

## RESEARCH MISSION

Titles for Mines Appointme	Eligible for Grad Fac Status (GFS)?	Can be primary MS/PhD advisor?	Can be co-advisor?	Can be PI on proposals?	Can be co-PI on proposals?
Research aP, AP, P	Yes	Yes, with GFS	Yes	Yes	Yes
Research Associate	No	No	No	Yes, w/ pre-approval*	Yes
Research Technical Professional	No	No	No	No	Yes*
Research Support Staff (I-V)	No	No	No	No	No
Postdoctoral Fellow	No	No	No	Yes, w/pre-approval*	Yes*
Affiliate Faculty	No	No	No	No	No
External Joint Appointees	Yes	Yes, with GFS	Yes	Yes, but needs Mines co-PI	Yes

## TEACHING MISSION

Titles for Mines Appointments	Can vote on grad curriculum?	Can vote on UG curriculum?	Can submit for tech fees?
Research aP, AP, P	No	No	No, with exceptions^

Research Associate	No	No	No
Research Technical Professional	No	No	No
Research Admin Professional	No	No	No
Research Support Staff (I-V)	No	No	No
Postdoctoral Fellow	No	No	No
Affiliate Faculty	No	No	No
External Joint Appointees	No	No	No

## SERVICE MISSION

Titles for Mines Appointments	Can vote on hires?	Can serve in hiring committee?	Can serve in Senate/GC/UGC?
Research aP, AP, P	No	No	No
Research Associate	No	No	No
Research Technical Professional	No	No	No
Research Admin Professional	No	No	No
Research Support Staff (I-V)	No	No	No
Postdoctoral Fellow	No	No	No
Affiliate Faculty	No	No	No
External Joint Appointees	No	No	No

## EXPECTATIONS

Titles for Mines Appointments	Successful external funding proposals	Student funding/ advising	Publications
Research aP, AP, P	Yes	Yes	Yes
Research Associate	No	No	Yes
Research Technical Professional	No	No	No
Research Admin Professional	No	No	No
Research Support Staff (I-V)	No	No	No
Postdoctoral Fellow	No	No	Yes

Affiliate Faculty	No	No	Yes
External Joint Appointees	No	No	Yes

\* requires policy change (suggested edits have been submitted to the Handbook committee)

+ some salary is possible through Mines, but this is not common

^ exceptions can be made for research faculty who are teaching courses required by the department

Last Revision:

September 29, 2023

## 4.6 Faculty Appointments for Graduate Students

### Governing Policies

Section 4.4, Faculty Handbook – Minimum Qualifications for Faculty Ranks

Section 5.3.1, Faculty Handbook – Degree Candidates

### Procedure

On occasion, there are good reasons to employ well-qualified graduate students in faculty appointments (Research Associate, or Teaching Faculty), or conversely, allow existing faculty to pursue additional degrees. Appointees, who are graduate students currently enrolled in good academic standing, must go through the full appointment process and meet all requirements specified in the Faculty Handbook.

Section 5.3.1 of the Faculty Handbook prohibits persons from holding any faculty appointment in the same department in which they are pursuing their degree. It allows, however, the Dean of Graduate Studies to waive this requirement in special cases. Following are the minimum guidelines that must be fulfilled in order for such a waiver to be considered:

- The graduate student must have completed the basic course work and minimum number of credit hours required for the degree and have an approved Admission to Candidacy form on file in the Graduate Office.
- The Department Head must certify that the graduate student has the appropriate knowledge and/or experience that make them well suited to the position.
- The graduate student's faculty responsibilities must be limited to the specific purpose of the assignment (e.g. work on a research project, teaching a course, etc.). The graduate student may not vote on matters of departmental policies and operations or otherwise participate in decisions that normally are the purview of the full-time, permanent faculty.
- The full-time, permanent faculty in the department must support the appointment and certify that it will not cause a conflict of interest when they give the graduate student grades in their own courses or vote on the student's performance on the comprehensive exam or thesis defense.
- The rate of compensation must be at least what the student would have received as a Graduate Research Assistant or Graduate Teaching Assistant for substantially the same time commitment.



Graduate students who are given faculty appointments under these conditions will have dual status as both faculty and students. Their responsibilities and privileges as faculty will be limited as indicated above. They will continue to have the same responsibilities and privileges as other students in their category, and their work assignment must allow them to continue to make significant progress toward their degree.

**Last Revision:**

July 21, 2022

## 4.7 Guidelines for Appointing Faculty to a Position with No Remuneration

### Governing Policies

Section 4.1.2, Faculty Handbook – Non-Tenure-Track Faculty Appointments

Section 4.1.8, Faculty Handbook – Non-remuneration Appointments

### Procedure

Nominations for non-remunerative (i.e., volunteer) faculty appointments are made upon the recommendation of the Department Head for the following faculty titles: Adjunct, Visiting, Visiting Scholar, Research Associate, and Affiliate Faculty. Please see section 4.1.2 of the Faculty Handbook for descriptions of the roles of each of these faculty titles. Non-remunerative appointments that involve faculty rank (e.g., Research Professor) also require a recommendation from an appropriately constituted Departmental Promotion and Tenure Committee and the Dean, like remunerated positions; such positions usually are created for tenure-line faculty who are arriving or leaving Mines.

Recommendations should be forwarded to the Vice Provost for final approval. When the office of the Vice Provost receives the request, it will send a letter to the faculty member. When the signed letter is received, the Vice Provost will send copies to Human Resources and the Department, as well as place the original in the faculty member's file.

A background check is required for all non-remunerated faculty or staff that work directly with students, just as it is required for all paid faculty and staff.

Once a non-remunerated faculty member's appointment ends, a separation form must be submitted to Human Resources, as with all other faculty.

As per Section 4.1.8 of the Faculty Handbook, all non-remunerated appointments are at most two-year appointments. Renewal of the appointment is available, but only upon the recommendation of the the Department Head (and the appropriate Departmental Promotion and Tenure committee and portfolio Dean, if required per above).

**Last Revision:**

July 6, 2023

## 4.8 Guidelines for Hiring Adjunct Faculty

### GOVERNING POLICIES

Section 4.1.2, Faculty Handbook – Non-Tenure-Track Faculty Appointments

Section 5.2, Faculty Handbook – Eligibility for Benefits

Section 6.1.2, Faculty Handbook – Teaching Assignment Guidelines

### PROCEDURE

As defined in Section 4.1.2 of the Faculty Handbook, Adjunct Faculty are temporary faculty members who are appointed on a semester-by-semester basis. Adjunct Faculty are typically hired for specific, short-term, instructional assignments. They may, however, also be assigned supplemental administrative duties.

As Adjunct Faculty members are usually hired to fill specific, short term needs, they have generally been considered ineligible for benefits. As such, to remain in compliance with Patient Protection and Affordable Care Act the following guidelines shall be used to limit Adjunct Faculty effort levels:

1. Total effort across all activities, instructional and administrative, shall be less than 75% of full-time effort without the expressed, written approval of the College Dean and the Provost.
2. For Adjunct Faculty who have teaching-only assignments, whether in the same department or not, effort is calculated based on the full-time load defined in Section 6.1.2 of the Faculty Handbook of 12 credit hours per semester. As such, to be less than 75% full-time, normal adjunct assignments must have **TOTAL** teaching loads of **LESS THAN 9** credit hours per semester.
3. For adjunct assignments that include both teaching and administrative responsibilities, total percent effort is calculated as the sum of 1) the percent effort directly assigned to administrative responsibilities, and 2) 8 1/3 % effort per course credit hour taught. The sum of these two efforts must be less than 75%.

The Provost may allow a small number of adjunct appointments to be above 75% of full-time effort in cases where it can be documented that there is a compelling institutional need/interest in retaining an adjunct appointment at a higher level of effort. Adjunct Faculty appointed at effort levels of 75% and above shall be deemed eligible for benefits as defined in Section 5.2 of the Faculty Handbook.

**Last Revision:**

June 18, 2014

## 4.9 Termination of Salary Contracts and Separation of Employees from Mines

### GOVERNING POLICIES

Section 9, Faculty Handbook – Termination of Employment

### PROCEDURE

Termination of faculty is governed by policies defined in Section 9 of the Faculty Handbook. Within these policies, however, when an employee

leaves Mines for any reason, it is required that the Department complete a Separation Form. Please note that ***the Separation Form is required for all employees, including temporary and adjunct faculty, whether they receive benefits or not.***

The “end-date” specified on the Separation Form used for personnel payroll actions specifies the date upon which salary payroll actions against the account number(s) are terminated for an employee. The “end-date” **does not** signify termination of employment or resignation by the employee from Mines. On the contrary, for many employees, especially those working on research accounts, departments activate a new HR form for a period immediately beyond the previously expired “end-date” and keep the employee in continuous employment at Mines.

The Separation Form “end-date” does not automatically invokes an employer-employee separation. While salary actions will cease, continuing payment of health premiums by Mines for an eligible faculty member does not. This is advantageous for employees who serve continuously, but whose salary payments must be renewed periodically as funding changes as implemented through successive filings of HR forms with sequential start-end periods.

However, for employees who are truly terminating employment, if we do not inform them of their rights to continuing benefits through COBRA within 14 days of separation, Mines could face liabilities and penalties. There are also PERA complications: failure to provide timely termination information to PERA has an impact on service dates and final payout of any balances, which in turn can negatively affect the calculation of highest average salary for the individual.

It is therefore required that when an individual is not only ending their salary contract period (per the Payroll Action Form) but is also leaving Mines, that Departments complete the Office of Human Resources Separation Notice. This form alerts the HR Office to the fact that we have an intentional termination of an individual, and triggers the appropriate health, COBRA and PERA separation actions.

Last Revision:

October 5, 2022

## Section 5 - Faculty Evaluation

- 5.1 Faculty Evaluation Procedure Summary (p. 25)
- 5.2 Suggested Criteria to be Considered for Faculty Evaluation (p. 26)
- 5.3 Responsibilities and Expectations for Departmental Leadership (p. 26)
- 5.4 Evaluation Procedures for Departmental Leadership (p. 28)
- 5.5 Course Evaluations (p. 28)
- 5.6 Professional Growth Plans for Tenure-Track and Teaching Faculty (p. 29)

### 5.1 Faculty Evaluation Procedure Summary

#### Governing Policies

Section 7, Faculty Handbook – Performance and Evaluation

## Procedure

As defined in the Faculty Handbook, annual performance evaluation is required for all tenured and tenure track faculty, all teaching faculty, all library faculty, and all research faculty holding a named rank. Annual evaluation of the faculty is undertaken in order to

1. Encourage professional development, enhancement, and/or renewal;
2. Encourage individual excellence and achievement within a framework of shared and accepted standards of equitable professional judgment;
3. Encourage participation in activities that are essential to the missions and goals of the university and its departments;
4. Recognize individuals for providing satisfactory or better performance, or to give appropriate counsel to those individuals whose performance is unsatisfactory through a motivational, rather than demoralizing process;
5. Document performance: (a) for use in academic planning, programmatic review, and other internal activities, (b) for consideration, along with other pertinent information, in personnel decisions regarding salary, retention, promotion, and/or tenure, and (c) for use in preparing university documents for external reports.
6. Set individual faculty goals.

Annually, all faculty members defined above must complete a Faculty Evaluation form in OnBase. The schedule for completing the OnBase Evaluation form is provided by Academic Affairs as part of the Academic Affairs Calendar. Typically, the completion date by which faculty must submit the evaluation form to their Department Heads is during the early portion of the Spring semester. Faculty are assessed on scholarship, teaching, and service, as outlined in Section 5.2.

Instructions and resources for completing the Faculty Evaluation form in OnBase are available online on the Academic Affairs website. Note that Institutional Research (IR), working with Departments, portfolios, and individual faculty, will provide and verify institutional data (e.g., courses taught, enrollment, student evaluations, students advised, students graduated, research funding) for each faculty member from which the narrative is to be constructed. This is called the Faculty Data Sheet and is the only required attachment in the OnBase Evaluation form for all faculty. For research-active faculty, a list of archival publications and external presentations must also be attached to the Scholarship section. Faculty are also evaluated by students in their classes; the student evaluation scores and comments are provided to the faculty member and department head.

The Department Head instructions and resources for the Faculty Evaluation Process in OnBase can also be found online on the Academic Affairs website. As detailed in the evaluation process instructions, Department Heads submit their draft evaluation of their faculty to their respective Dean for review and approval via OnBase. Once the Dean has reviewed and approved the faculty evaluations, they will return them to the Department Head queue in OnBase. The Department Heads then meet with and finalize the evaluation with each faculty member. All signatures are electronic in the OnBase form. The faculty member has seven days to electronically sign the evaluation form before it gets automatically forwarded onto the Department Head for their signature. The faculty member has the ability to submit a rebuttal by attaching it in OnBase during the signature process. Deans shall advise the Provost of any faculty who receives overall evaluations of “needs improvement” or “unsatisfactory.”

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July 21, 2022

## 5.2 Suggested Criteria to be Considered for Faculty Evaluation

### Teaching

- Mastery of fundamentals in discipline
- Contribution to undergraduate education (teaching and advising)
- Contribution to graduate education (teaching and advising)
- Effectiveness of relationship with students
- Contribution to department educational goals and curricular development
- Contribution to other educational programs

### Scholarship

- Breadth or depth of research
- Mastery of current research methods
- Creativity and quality of research
- Effectiveness of graduate student research training
- Contribution to basic and/or applied research
- Quality of publications
- Quantity of publications
- Efforts to obtain grant and contract support for research
- Success in obtaining grant and contract support
- Success in obtaining support for graduate students

### University and Public Service

- Contribution to department affairs
- Mentoring of tenure-track faculty, postdoctoral faculty and graduate students
- Contribution to university affairs
- Contribution to professional societies
- Contribution to Diversity, Inclusion and Access efforts
- Activities with government and/or industry
- Contribution to public service

### Other Work-Related Skills and Activities

- Motivation
- Imagination and creativity
- Self reliance
- Responsibility and reliability
- Ability to make sound professional judgments
- Ability to express themselves orally and in writing
- Rapport with others
- Leadership

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October 5, 2022

## 5.3 Responsibilities and Expectations for Departmental Leadership

This section provides the overarching responsibilities and expectations for departmental leadership, including the Department Head, Associate Department Head, and Graduate and Undergraduate Program Directors.

It is expected in all positions that leaders engender a culture of excellence, co-operation, diversity, and respect both within and outside of their unit, and demonstrate high ethical values and transparency in decision making.

### Department Head (DH)

The Department Head (DH) provides vision, leadership, and overall management for their department. The DH reports directly to their Dean and works closely with the Dean and Provost to establish and achieve departmental goals that are aligned with and contribute to overall university goals, metrics, priorities, and mission. The DH is expected to maintain a climate that is supportive of excellence, creativity, innovation, and success among the unit's faculty, students, and staff, promotes collaboration with other university leadership, and is receptive to external input on the evolution and assessment of the department's programs, support, and creative/research activities.

### Duties and Responsibilities

The department head has a variety of responsibilities, including:

#### *Vision*

- Lead the development and implementation of a strategic vision for the department that is aligned with university goals and aspirations, and leverages synergistic activities across and outside of the university, leading to the creation of distinctive programs managed and supported by the unit.
- Effectively communicate both unit-level and university-level visions, goals, and aspirations to internal and external audiences.

#### *Leadership*

- Create and foster an intellectually stimulating environment.
- Create and foster a supportive educational environment for all students.
- Encourage, develop, and support strategies to achieve student success.
- Encourage, develop, and support strategies to achieve both research and teaching excellence.
- Promote and positively represent the department and university both internally and externally.
- Recruit, select, mentor, and evaluate faculty and staff to advance both departmental and institutional priorities and initiatives.

#### *Management*

- Ensure that faculty and staff are managed and evaluated fairly, effectively, and efficiently, and in a way that is consistent with university requirements and expectations.
- Oversee assignment of teaching and other duties for all faculty and staff in a way that is consistent with university requirements and expectations, and consistent with the concept that the appropriate mix of teaching, research or creative work, scholarship, and service

that may differ from person to person, and from time to time during an individual's career.

- Manage overall budget and department administration in strict accordance with dollar and FTE allocations and in accord with university rules and procedures.
- Ensure that students supported by the department are served ethically and effectively, while meeting the expected educational or scholarship outcomes.
- Share messaging from around campus to faculty, as well as communicate happenings in their department to Academic Affairs.

#### **University Participation**

- Engages department faculty in university and portfolio initiatives such as:
  - interdisciplinary research, and collaborative cross-institutional activities.
  - interdisciplinary degree programs, joint appointments etc.
- Engages in university budgetary discussions and strategic decision making.
- Engages department faculty in university recruiting activities.
- Represents and advocates for the department in the university context, while also representing and advocating for university administration with the department.

### **Associate Department Head**

Reporting to the Department Head, the Associate DH will provide administrative support on matters pertaining to departmental faculty, staff, and students.

#### **Suggested Duties and Responsibilities**

- Serves as primary advisor to the DH regarding overall programs, management and operations of the unit, with major program development, supervision and policy-making responsibility. Acts as an administrator of the department in accomplishing necessary managerial tasks.
- Assists with the management of resources, determination of staff functions, and setting operating policies for the unit. Helps with development of "standard operating procedures" to improve efficiency within the department.
- Acts as the representative of the department to administration and outside constituencies in the DH's absence.
- Mentors or assigns mentors for assistant and associate professors-- these mentors should meet with assistant professors and associate professors at least annually, talk through P&T process and steps to success; help them with research portfolios; find funding opportunities; and locate tools to push quality teaching in the classroom at undergraduate graduate and graduate levels.
- Helps the DH with writing new job advertisements as needed.

### **Graduate Program Director**

Reporting to the Department Head or Associate Department Head, the Graduate Program Director coordinates all matters pertaining to the departmental graduate program(s).

#### **Suggested Duties and Responsibilities**

- Manages the departmental graduate program, including curriculum.
- Ensures the accuracy of information about the graduate program published in the Graduate Catalog.
- Coordinates departmental TA training.
- Advises the University Graduate Council liaison about matters of concern to the faculty and students, suggesting any desired modifications in university procedures.
- Provides periodic reports of the Graduate Program Committee to the faculty.
- Coordinates admissions, including communication with the department about applicants, organizing a committee if appropriate to determine and uphold admissions standards
- Coordinates departmental funding allocations (including departmental fellowships, Foundation funds focused on students and TAs, as appropriate).
- Handles general questions about the graduate program from prospective students and campus more broadly.
- Is responsible for communicating requirements, departmental policy changes, and departmental events to the graduate student community.

### **Undergraduate Program Director**

Reporting to the Department Head or Associate Department Head, the Undergraduate Program Director coordinates all matters pertaining to the departmental undergraduate program(s).

#### **Suggested Duties and Responsibilities**

- Manages the departmental undergraduate program, including curriculum.
- Ensures the accuracy of information about the undergraduate program published in the Undergraduate Catalog.
- Advises the University Undergraduate Council liaison about matters of concern to the faculty and students, suggesting any desired modifications in university procedures.
- Provides periodic reports of the Undergraduate Program Committee to the faculty.
- ABET coordination, including collecting data from faculty for visiting committees (every 6 years).
- Handles general questions about the undergraduate program from prospective students and campus more broadly.
- Ensures that all majors and minors receive appropriate academic and career counseling.
- Handles transfer requests into the department
- Is responsible for communicating requirements, departmental policy changes, and departmental events to the undergraduate student community.

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## 5.4 Evaluation Procedures for Departmental Leadership

This section describes evaluation procedures for the leadership described in Section 5.3. At the time of this writing, Mines is moving from OnBase to Workday, so the sections below will need to be updated in the future.

### Department Head (DH)

The Department Head completes the Department Head Evaluation process in OnBase, attaching their Faculty Data Sheet they received from Institutional Research (IR) and submits in OnBase to their Dean by the deadline posted on the Academic Affairs calendar. Typically, these are due by the first week in April.

The instructions and resources for the Department Head Evaluation in OnBase form and process can be found on the Academic Affairs website. Prior to the end of the academic year the Dean reviews the material submitted in OnBase and evaluates the annual performance of each Department Head in their portfolio utilizing the OnBase Evaluation process.

Instructions and resources for the Dean evaluation process in OnBase can be found online on the Academic Affairs website. The Dean will submit their draft evaluation of each Department Head to the Provost via OnBase for their review and approval. Once the Provost reviews and approves the Department Head evaluation, they will return it to the Dean via OnBase. The Dean then schedules a meeting with each Department Head to discuss the evaluation of the Department Head's annual performance. The Deans shall advise the Provost of any Department Head who receives overall evaluations of "needs improvement" or "unsatisfactory."

### Basis for Evaluation for Department Head Duties

- Faculty development and mentorship, including promotion and tenure success
- Student success metrics (e.g., student completion rates, time-to-degree indicators, student publication activities, improvement of overall student outcomes, etc.)
- Student and employer satisfaction with academic programs and services (e.g., student surveys, employer surveys, advisory groups)
- Program resource stewardship (e.g., student credit hours/faculty, \$s/research space, etc.)
- Engagement in and alignment with university initiatives and activities (e.g., departmental participation in interdepartmental committees and working groups, departmental participation in cross-departmental research and educational activities, support of institution-level strategic plan initiatives)
- Contributions to meeting programmatic and university goals and objectives
- Effectiveness of departmental management (e.g., budget, scheduling, evaluations, etc.)

### Other Departmental leadership

Associate Department Heads, Graduate Program Directors and Undergraduate Program Directors all complete evaluations as standard

faculty, but should make clear under the "Service" section about their specific contributions in these roles.

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July 21, 2022

## 5.5 Course Evaluations

Effective instruction at Mines should be evaluated for different levels of courses and different delivery modes, among other potential categories. Effective teaching is defined here in terms of four components:

- Focused on learning
- Intentionally designed
- Supportive of students
- Reflective

More information on effective teaching can be found online from the Trefny Innovative Instruction Center. Below, we outline three types of evaluations that should be considered holistically in evaluating effective teaching.

### Student Evaluations

Electronic student evaluations of faculty effectiveness in teaching are conducted each semester, including the summer terms and eight-week parts of term. Course evaluations are generated for all courses with enrollment of two or more students. Only certain Canvas course roles are evaluated as part of the course evaluation process. These include "Teacher", "Lead TA", and "TA". For courses that are team taught, all instructors and teaching assistants are evaluated separately.

Formal course evaluations are conducted during the last 14 days before finals for 16-week and 14-week semesters and the last 7 days of 8-week or 6-week parts of term.

Courses are evaluated based on their associated Banner designations:

1. "Lecture", "lab", "lecture/lab", "mixed face-to-face", "recitation", "seminar", "studio" and "distance courses" course types are included in the evaluation process.
2. "Research", "thesis", "internship", and "independent study" course types are not included in course evaluations, nor are courses with subject codes PAGN, MSGN, AFGN or CSM101.
3. For fully online courses ("distance courses"), evaluations are available 7 days prior to the last official day of class for 8-week courses and 14 days prior to the last official day of class for 16-week courses.

The course evaluation facilitation and communication process follows the same general outline:

1. Reminder email to all instructors and TAs associated with a course to make them aware of the upcoming course evaluation cycle sent a week before evaluations are active.
2. Email to instructors and TAs with current course/section list included in upcoming evaluation sent five days before evaluations are active.

3. Reminder emails are sent to students about upcoming evaluations one day before evaluations are active.
4. Deadline to assign/update "no evaluation" roles in Canvas is one day before evaluations are active.
5. When evaluations are active, students are notified and prompted to respond in Canvas and via an email.
6. Reminder emails are sent to students for any uncompleted surveys every two days after evaluations start.
7. Course evaluations are active and available to students until 11:59pm the day prior to final exams or on the last official day of class (for 8-week or 6-week courses).

Additional information and frequently asked questions regarding the course evaluation process are available in this Mines knowledge-base article.

To ensure high response rates, faculty are asked to:

- Allow 10 minutes during class time for completion of the evaluations. Although students can use their computers, tablets, or mobile devices to complete the survey by clicking an appropriate link, to ensure high submission rates it is recommended that faculty allow class time for evaluation completion. Academic Affairs will provide the links for each course to students in a separate email. Links to evaluations are also available in the Canvas course menu in each class.
- If classroom time is provided, the instructor should leave the room while the students complete the evaluation.

Evaluation results are available to Academic Departments one day after semester grades are posted by the Registrar and to Faculty two days after semester grades are posted.

In addition to the formal, end-of-semester evaluations, faculty are encouraged to use the optional mid-course survey available on Canvas for gathering feedback earlier in the semester. Any evaluation feedback obtained outside of the formal, end-of-semester evaluation is to be used by the faculty member only so that they may engage in ongoing course improvement efforts. After collecting mid-course feedback, it is advised that faculty address the feedback with their students with what changes and improvements will be made for the remainder of the semester.

## Peer Evaluations/Observation

Peer evaluations (or observation) provide a different perspective for improving one's teaching than student evaluations and can offer another tool for faculty to holistically demonstrate quality teaching for promotion. For peer observation, the process should be supportive and formative. Faculty are strongly encouraged to seek out colleagues on campus known to be strong teachers for feedback; it may be helpful to get advice from a colleague in a different department so that they could focus their attention on pedagogy rather than being distracted by familiar content.

## Self Evaluations

Self-reflection surveys are useful for faculty to evaluate their teaching, and may also be useful for documenting "continuous improvement" as required for ABET. Reflection templates will work best if designed to focus on our characteristics of effective teaching, and should include prompts for instructors to reflect on how they are working toward the four

characteristics of effective teaching list above. A possible self-reflection survey may ask:

1. What changes did you make in your course this semester? Which, if any, of the changes were based on student performance or evaluations from the last time you taught this course?
2. What worked well in your course this semester? Why?
3. What did not work well in your course this semester? Why?
4. What will you do differently the next time you teach this course? Why?

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## 5.6 Professional Growth Plans for Tenure-Track and Teaching Faculty

### Governing Policies

Section 7.2.1, Faculty Handbook – Professional Growth Plans for Newly Appointed Faculty

Section 8.1.4, Faculty Handbook – Preliminary Tenure Review

### Procedure

All tenure-track and teaching faculty are required to prepare a Professional Growth Plan (PGP) during the first semester of employment at Mines. The plan should be developed in consultation with the faculty member's Department Head, and at minimum cover the period until the Preliminary Tenure Review for tenure-line faculty and for three years for teaching faculty. PGPs are reviewed as part of faculty evaluations. As such, the PGP constitutes an early step in the tenure and/or promotion process.

PGPs need not be voluminous. They should, however, be broadly modeled to parallel the content and section format of the annual evaluations, including major sections titled Teaching, Scholarship, and Service. The content addressed in each of these sections should be written such that it is clear that successful implementation of the PGP will naturally lead to strong annual performance evaluations and ultimately a successful tenure and/or promotion application.

The PGP should be transmitted to the Department Head by the deadline provided by the Academic Affairs calendar. The Department Head shall review the plan, and if necessary meet with the faculty member to discuss and modify the proposed plan. Once approved by the Department Head, the plan shall be transmitted to the appropriate Dean. Upon review by the Dean, the PGP shall be forwarded to AA and filed in the individual's personnel file.

Last Revision

October 5, 2022

## Section 6 - Promotion and Tenure

- 6.1 Promotion Procedures (p. 30)
- 6.2 Guidelines for Submissions of Promotion/ Tenure Material (p. 31)
- 6.3. Guidelines for Selecting Reviewers and Reviewing External Evaluation Letters (p. 32)
- 6.4 Preliminary Tenure Reviews for Tenure-Track Faculty (p. 34)
- 6.5 Expectations of Department Heads, Departmental Promotion and Tenure Committees, and the University Promotion and Tenure Committee (p. 35)
- 6.6 Demonstration of Attainment of Promotion and/or Tenure Criteria for Tenure-Line Faculty (p. 35)
- 6.7 Demonstrations of Attainment of Promotion Criteria for Teaching Faculty (p. 40)
- 6.8 Demonstration of Attainment of Promotion Criteria for Library Faculty

### 6.1 Promotion Procedures

#### Governing Policies

Section 8, Faculty Handbook – Promotion and Tenure

#### Considerations

As required by the Faculty Handbook, deadlines and format of the promotion/tenure application process for the upcoming academic year will be announced by Academic Affairs by the end of spring break. The current calendar is available on the Academic Affairs website. Faculty are strongly encouraged to let their Department Heads know in April about their intent to go forward for promotion so that the Department Head can start determining letter writers for tenure-line faculty before summer. Departments should forward their list of anticipated candidates to Academic Affairs by the last day of the spring semester.

The Faculty Handbook provides detailed process specifics for promotion and tenure of tenure/tenure-track faculty, and promotion of teaching, research and library faculty. Additional policies regarding the handling of specifics related to these processes are provided below:

1. **Faculty Eligibility on Departmental Promotion and Tenure Committee:** Participation in the tenure/review process is a required service activity for all eligible committee members that are not on sabbatical or extended leave. Faculty members who are otherwise eligible to participate in a Departmental Promotion and Tenure (DPT) Committee, but who are on sabbatical or leave may – at their discretion – choose to not participate in DPT Committee activities. If faculty on sabbatical or leave choose to participate in the promotion and tenure process, they are expected to do so as full members of the DPT Committee and have identical expectations and obligations to the DPT process as faculty members not on sabbatical/leave. If faculty on sabbatical choose to not participate, they are not considered an “eligible” member of the Committee as defined in item 4 below. Associate Deans participating in the Promotion and Process in the Dean's office do not participate in the DPT Committee. Faculty serving on the University Promotion and Tenure (UPT) Committee can still participate in their DPT Committee since they will recuse themselves from those cases at the UPT level.
2. **Letter Requests:** As provided by the Faculty Handbook, the Department Head is required to solicit external evaluations of tenure-

line candidates' credentials. All letters received from this solicitation must be added to the candidate's application package, following the procedure and expectations identified in Section 6.3 of this Procedures Manual.

3. **Confidentiality of Letters:** All external letters are kept confidential and are not made available to promotion/tenure applicants before, during, or after the promotion/tenure process. Should the DPT Committee and/or the Department Head, in their recommendations, refer by name to a person who has submitted a reference and cited that person's specific opinions, these names and any identifying comments should be redacted before the recommendations are provided to the applicant at the conclusion of the process.
4. **Departmental Promotion and Tenure Committee Process:** The DPT Committee shall examine the dossier, prepare a written tenure report containing a recommendation, and forward the dossier and report to the Department Head. In preparing this recommendation, the DPT Committee must consider the criteria for tenure and or promotion listed in the Faculty Handbook. Guidelines for various paths to success are also provided in Section 6.6 of this Procedures Manual. Before the deadline for submission, DPT may also review dossiers to ensure they are meeting University guidelines and are well organized; dossiers that do not meet these criteria should be returned to the faculty member for improvements in organization or clarity prior to submission. As part of its recommendation, the DPT Committee shall hold a vote. The committee's report should communicate the vote tally and number of faculty who were recused from the deliberations. Votes should only be 'yea' or 'nay', with details in the main text. In the case of a split vote, an additional letter or section summarizing the dissenting view also must be submitted and shared with subsequent parties to the review process. Committee members should not abstain from voting in difficult and/or contentious cases. Committee members should, however, disclose conflicts of interest to other members of the committee. In the event of serious conflicts of interest (e.g., a family relative or a previously formal academic advisor) a committee member may, in consultation with the committee chair, recuse themselves from deliberations about that specific case. Throughout and following the process, the content of the deliberations and the individual recommendations and votes of committee members must be kept in the strictest confidence. The committee letter(s) shall be so written as to protect confidentiality. The DPT's letter(s) should be added to the application package before submission of the package to the Department Head. At least  $\frac{3}{4}$  of the eligible members of the Committee must participate in the vote.
5. **Department Head Process:** The Department Head reviews the application package and the DPT Committee recommendation and makes their own written recommendation, which is added to the application package. In preparing this recommendation, the Department Head must consider the criteria for tenure and/or promotion listed in the Faculty Handbook and should contextualize success in the candidate's discipline. Guidelines for various paths to success are also provided in Section 6.6 of this Procedures Manual. Department Heads are also responsible for review of dossiers to ensure they are meeting University guidelines and are well organized; dossiers that do not meet these criteria should be returned to the faculty member for improvements in organization or clarity prior to moving forward to Academic Affairs. For jointly appointed faculty, formal inclusion of contributions to split appointments or interdisciplinary programs must be considered in promotion and tenure dossiers. The complete application package is forwarded to the Provost in the format directed by the Office of Academic Affairs.

The written recommendation produced by the Department Head should be added to the application package before submission of the package to the Provost.

6. **University Promotion and Tenure Committee Process:** The Office of Academic Affairs shall make complete application packages available to the UPT Committee for their review. The UPT Committee shall conduct a thorough and independent review of all tenure applications received during the relevant time period. The Committee will consider the criteria for tenure and or promotion listed in the Faculty Handbook. Guidelines for various paths to success are also provided in Section 6.6 of this Procedures Manual. The UPT Committee shall hold an open vote denoting the number of members for and against the candidate's tenure and/or promotion. Committee members should not abstain from voting in difficult and/or contentious cases. Committee members from the candidate's department must recuse themselves from deliberations about that candidate's case. In addition, committee members must disclose conflicts of interest to other members of the committee. In the event of serious conflicts of interest (e.g., a family relative or a previously formal academic advisor) a committee member may, in consultation with the committee chair, recuse themselves from deliberations about that specific case. Throughout and following the process, the content of the deliberations and the individual recommendations and votes of committee members must be kept in the strictest confidence. Following this review, the UPT Committee shall submit a written recommendation, including the vote tally and the number of faculty who recused themselves from the deliberations, to the Provost. The UPT letter, with any names redacted, can be requested by the candidate from the Provost.
7. **Dean and Provost Roles in Promotion and Tenure Process:** As directed by the Faculty Handbook, the Deans shall review each candidate dossier, and provide the Provost a formal written recommendation of each candidate being considered from their portfolio. The Dean's letter, with any names redacted, can be requested by the candidate from the Provost. The Provost then reviews all candidate dossiers and all recommendations, decides on final action and seeks Board approval in support of this action in time for faculty promotion and tenure decisions to be announced at the April Faculty Forum.
8. **Corrections and Clarifications:** If a need for clarification arises at any stage of the process, any of the parties reviewing the package (Department Head, DPT Chair, UPT Chair, etc.) may contact the candidate to request additional information. In addition, a reviewing party may request clarification from any previous reviewer who has evaluated the package. The request, and the additional information provided, should be included as an addendum to the appropriate letter of recommendation produced by the Department Head, DPT, UPT, etc. and copied to all parties in the chain below.

Last Revision:

October 5, 2022

## 6.2 Guidelines for Submissions of Promotion/Tenure Material

### Governing Policies

Section 8, Faculty Handbook – Promotion and Tenure

## Procedure

For additional considerations on preparing an application package that includes information relevant to the various Committees, Department Head and Provost, please see Section 6.5 of this Procedures Manual.

Application package specifics conforming to the Faculty Handbook for each type of faculty are provided below.

Faculty seeking promotion and/or tenure should submit to their Department Head a promotion and/or tenure application package that includes the sections defined below. A faculty-complete draft of the dossier (before letters) must be reviewed by the Department Head **two weeks** before the Academic Affairs due date. This is to ensure the Department Head will be able to sign the memorandum (Section 2 of the dossier template) that will be included upon submission, stating that the dossier is clear and correctly formatted. Dossiers that do not meet these criteria should be returned to the faculty member prior to moving forward for improvements in organization or clarity. The format of and submission date by which these materials should be submitted is communicated to campus by the Office of Academic Affairs prior to the end of the Spring semester. The candidate directly submits their dossier via a single email to Academic Affairs and the Department Head on the due dates on the Academic Affairs Calendar of Submissions. Candidates may submit an Addendum in early September (please see AA Calendar of Submissions for due date) with any pertinent updates to their dossier, such as new publications and/or funding, etc. This submission will not go to external letter writers, but will go to the DPT after the external letters have been received, before the DPT begins its deliberations.

Each application package must include, in the order given, the sections defined in the **Package Template** provided on the Faculty Resources page of the Academic Affairs website. Packages for consideration of promotion of Teaching, Research and Library faculty may exclude certain sections. Required and permissible package exclusions are as defined in the following table.

Faculty Type	Package Exclusions
Tenure/Tenure Track	None. All elements shown in the outline must be included.
Teaching	Items 5c (Scholarly Activities), 5d (Publications and Presentations), 10 (External Evaluation Letters), 11b (Scholarly Achievements), 11c (External Fund Raising), and 11d (Student advising) may be omitted if not relevant.
Research	Items 5b (Teaching and Related Activities) and 11a (Teaching Accomplishments) may be omitted if not relevant.
Library	Items 5b (Teaching and Related Activities), 5c (Scholarly Activities), 5d (Publications and Presentations), 11a (Teaching Accomplishments), 11b (Scholarly Achievements), 11c (External Fund Raising), and 11d (Student Advising) may be omitted if not relevant.

Last Revision:



June 19, 2023

## 6.3.Guidelines for Selecting Reviewers and Reviewing External Evaluation Letters

### Governing Policies

Section 8, Faculty Handbook – Promotion and Tenure

### Procedure

As per the Faculty Handbook, Department Heads are required to solicit evaluations letters from external reviewers for inclusion in promotion and tenure application packages of tenure/tenure-track faculty. Mines needs to see clear evidence of a national and international reputation for a candidate to be promoted to the rank of Professor (as noted in Faculty Handbook, Section 4.2.3). In the case of promotion to Associate Professor and/or granting tenure, Mines needs to see clear evidence of progress toward a national or international reputation. For both, the most convincing testimonials are letters from distinguished members of the community of scholars in the candidate's field **who do not have a direct relationship** with the candidate. External evaluators should be provided, for their review, the promotion and tenure package provided to the Department Head by the candidate excluding sections: 2 (DH Memorandum), 3 (Current Faculty Contract), 6, 7, 8 (Letters from DPT, DH, and Dean, respectively) and 9 (Performance Evaluations) as defined in the Promotion & Tenure Dossier Template available on the Academic Affairs Faculty Resources website.

External reviewers are asked to evaluate a candidate's promotion and tenure package, and then provide recommendations addressing the following considerations:

- the quality, importance, impact, and quantity of the scholarly work produced by the candidate,
- how the overall accomplishments of the candidate compare to the accomplishments of other scholars in the discipline at the same point in their careers,
- an overall evaluation of the candidate's scholarly strengths and weaknesses, and
- if the reviewer is employed in higher education, whether or not the candidate should be tenured and/or promoted at Mines.

**Considerations in soliciting reviews from external reviewers should include:**

- reviewers from peer or aspirant peer programs and institutions (e.g., other R-1 research institutions);
- reviewers who are highly regarded in the candidate's field, have exceptional scholarship records based on strong publication records, and if in academic employment are at the Professor level. Associate Professors may be acceptable letter writers for files only for promotion from Assistant to Associate Professor when it is clear that they are (inter)nationally recognized, possess pertinent expertise, and understand promotion and tenure norms at peer and aspirational peer institutions;
- reviewers who do not have a close relationship to the candidate (i.e., former MS, PhD, or postdoctoral advisors; close collaborators (co-PIs or frequent co-authors); Mines colleagues; or anyone else with a perceived conflict of interest); the greater the "distance" between

the reviewer and the candidate, the stronger the recommendation. External letters are ideally independent of the candidate.

- for promotion to Professor, at least two international external review letters, and reviewers from the National Academies should be considered and contacted if possible.

Candidates and the Departmental Promotion and Tenure (DPT) Committee shall each supply the Department Head with 5 to 6 names of external reviewers. The candidate may also request that certain individuals not be contacted for reviews; this request should be honored unless the Department Head and DPT Committee determine there are good reasons not to do so. In consultation with the Chair of the DPT Committee, the Department Head will then request external letters. For faculty that are jointly appointed to another department or whose participation is required for an interdisciplinary program (IDP) to be a viable program, the primary Department Head should consult the other Department Head(s) or IDP Director for suggestions for letter writers as well. The candidate dossier should ultimately contain a total of 5 to 7 letters of recommendation from external reviewers, with a balance between names suggested by the candidate, the Department Head, and the DPT Committee. A mandatory table goes forward with the dossier before the external letters that includes the requested letter writers' names, titles, institutions, a notation indicating which reviewers were selected by whom, and their response. At least 1/3 of the requested letters should be from reviewers recommended by the candidate. It is not appropriate to exclude any solicited letters.

Candidates should not discuss their dossier with potential reviewers, lest this be viewed as attempting to influence their independence of judgment. Likewise, neither the Department Head nor the DPT Committee should reveal their views or assessments about the candidate (including annual evaluations) in communicating with letter writers. The Department Head collects the external review letters, and inserts them into the candidate's dossier. The dossier should be forwarded to the DPT Committee when at least half of the requested letters have been received. The committee must review each letter from all external reviewers before making a final assessment.

National data show that implicit bias may be an issue in evaluating candidates with respect to race and gender. For example, letters of recommendation for men often are longer and refer more to a candidate's publications, research or other career achievements, while letters for women may make reference to their personalities, personal lives or other irrelevant data, and contain fewer descriptors about the quality of their work. Similarly, scholars from other countries may have different cultural expectations for the length and style of letters, which may be shorter than American letters with fewer effusive adjectives. Likewise, research suggests that candidates from historically excluded groups are often evaluated lower, even for the exact same resume, and that supposedly neutral, quantitative data may be evaluated by reviewers differently for majority and minority candidates. Promotion and Tenure Committees should consider these elements when looking at internal and external letters of recommendation for faculty.

A template letter of invitation to external reviewers is provided below for both Associate Professor- and Professor-level promotion. For issues of equity, this letter should be used largely as written, with edits allowable for disciplinary norms and any specificity required for a specific candidate. In the request for letters of recommendation, the University and Department expectations must be clear to the external letter writers.

## For promotion and tenure at the Associate Professor level:

Dear Professor XXXX,

Thank you for agreeing to provide an external evaluation of Assistant Professor XXXXX, who is being considered for tenure and promotion to the rank Associate Professor in the Department of XXXXXX at Colorado School of Mines (Mines).

At Mines, promotion to Associate Professor is based on the individual's established professional record, indications that the individual will continue to grow professionally, and evidence that the individual will continue to be an asset to the institution. Mines expects faculty members who are promoted to Associate Professor to have demonstrated:

- Dedicated, high quality student instruction at both the undergraduate and graduate levels.
- Potential for national and international professional recognition.
- Successful mentoring and completion of graduate students at the PhD, MS-thesis, and MS-non-thesis levels, where those graduate programs exist.
- Impactful and sustained scholarship, which may include entrepreneurial outcomes.
- Demonstrated ability to attract external resources as needed to support a strong scholarship program.
- A history of professional, respectful, and ethical interactions.
- Professional service contributions that enhance the faculty member's visibility and the visibility of Mines.
- University service that demonstrates measurable contributions to Mines.

We would appreciate your assistance in evaluating the merits of Dr. XXXXX's record of scholarship and professional service. Evaluation of the candidate's teaching is conducted internally, but if you have information about the quality of Dr. XXXXX contributions to pedagogy, we welcome comments on that aspect of the candidate's case as well.

In particular, I would appreciate:

1. A statement of how you know the candidate and their work. In this context, please address any circumstances that might raise issues of impartiality as they related to your assessment of the candidate.
2. A critique of the quality, importance, impact, and quantity of the candidate's work in comparison to the work of others in this discipline at comparable stages in their careers. We would particularly appreciate your evaluation of the contribution that the candidate's work has made to the field, viewing published works separately or in combination as seems appropriate. We would also be interested in your judgment of the quality of the journals and the importance of the conferences through which the candidate has communicated this work.
3. An evaluation of the candidate's scholarly strengths and challenges, and/or other insights you might have about the candidate's scholarly accomplishments.
4. A comment on professional leadership role(s) that Dr. XXXXX has had and on their ability to continue building a national or international reputation as they continue in their career.
5. Finally, we ask that you provide your opinion of how Dr. XXXXX's application should be considered for promotion and tenure at Mines.

6. A biographical statement for yourself of less than one page. Although our departmental faculty know you and your work, the campus committee and administrators would find your biographical sketch helpful when considering your letter.

The enclosed electronic package includes: 1) Dr. XXXXX's curriculum vitae, 2) their personal statement, and 3) a series of explanatory narratives, which we hope you will evaluate with respect to our criteria for tenure and promotion above.

Our process requires that we receive your letter by October XX, 20XX, so that it can be included in the materials that are examined internally; please let me know if additional time is required. If you have any questions about Dr. XXXXX's materials or experience, please contact me directly. In accordance with our procedures, we must ask you not to communicate with either the candidate whose work you are reviewing or other members of the university concerning your evaluation or the review process.

Every effort will be made to maintain the confidentiality of your report. Neither the names of the referees nor the full contents of their letters are shared with the candidate, although snippets of your letter may be included in our summaries and could be seen by the candidate. Your full letter of evaluation will be made available to the Promotion and Tenure Committee in our department and will become part of the candidate's file reviewed by appropriate committees and administrators at the university. I should add that in light of a Supreme Court decision (EEOC vs. University of Pennsylvania), such reports may be subject to involuntary disclosure in legal proceedings.

Thank you very much for taking the time to convey your professional evaluation. On behalf of my colleagues, I offer our gratitude and appreciation for your comments and perspectives.

Sincerely,

XXX

## For promotion to Professor:

Dear Professor XXXXX,

Thank you for agreeing to provide an external evaluation of Associate Professor XXXXXX, who is being considered for promotion to the rank of Professor in the Department of XXXXXX at Colorado School of Mines (Mines).

At Mines, promotion to Professor is based on the individual's established professional record, indications that the individual will continue to grow professionally, and evidence that the individual will continue to be an asset to the institution. Mines expects faculty members who are promoted to Professor to have demonstrated:

- Significant leadership in the candidate's field(s) that enhances the faculty member's visibility and the visibility of Mines. The leadership may be associated with teaching, scholarship, and/or organizations that promote either education or research.
- National and international recognition and reputation.
- Success with mentoring and completion of graduate students at the PhD, MS-thesis, and MS-non-thesis levels, where those graduate programs exist.
- Institutional service, including leadership roles.
- Demonstrated mentoring.

The above criteria build upon a continued record of the accomplishments below that are expected of those promoted to the rank of both Associate Professor and Professor:

- Dedication to high quality teaching at the undergraduate and graduate levels.
- Impactful and sustained scholarship.
- The ability to attract external resources in support of their scholarship as needed to support a strong scholarship program.

We would appreciate your assistance in evaluating the merits of Dr. XXXXX record of scholarship and professional service. Evaluation of the candidate's teaching is conducted internally, but if you have information about the quality of Dr. XXXXX contributions to pedagogy, we welcome comments on that aspect of the candidate's case as well.

In particular, I would appreciate:

1. A statement of how you know the candidate and their work. In this context, please address any circumstances that might raise issues of impartiality as they related to your assessment of the candidate.
2. A critique of the quality, importance, impact, and quantity of the candidate's work in comparison to the work of others in this discipline at comparable stages in their careers. We would particularly appreciate your evaluation of the contribution that the candidate's work has made to the field, viewing published works separately or in combination as seems appropriate. We would also be interested in your judgment of the quality of the journals and the importance of the conferences through which the candidate has communicated this work.
3. An evaluation of the candidate's scholarly strengths and challenges, and/or other insights you might have about the candidate's scholarly accomplishments.
4. A comment on professional leadership role(s) that Dr. XXXXX has had and on their ability to continue building a national and international reputation as they continue in their career.
5. Finally, we ask that you provide your opinion of how Dr. XXXXX's application should be considered for promotion and tenure at Mines.
6. A biographical statement for yourself of less than one page. Although our departmental faculty know you and your work, the campus committee and administrators would find your biographical sketch helpful when considering your letter.

The enclosed electronic package includes: 1) Dr. XXXXX's curriculum vitae, 2) their personal statement, and 3) a series of explanatory narratives, which we hope you will evaluate with respect to our criteria for tenure and promotion above.

Our process requires that we receive your letter by October XX, 20XX, so that it can be included in the materials that are examined internally; please let me know if additional time is required. If you have any questions about Dr. XXXXX's materials or experience, please contact me directly. In accordance with our procedures, we must ask you not to communicate with either the candidate whose work you are reviewing or other members of the university concerning your evaluation or the review process.

Every effort will be made to maintain the confidentiality of your report. Neither the names of the referees nor the full contents of their letters are shared with the candidate, although snippets of your letter may be included in our summaries and could be seen by the candidate. Your full letter of evaluation will be made available to the Promotion

and Tenure Committee in our department and will become part of the candidate's file reviewed by appropriate committees and administrators at the university. I should add that in light of a Supreme Court decision (EEOC vs. University of Pennsylvania), such reports may be subject to involuntary disclosure in legal proceedings.

Thank you very much for taking the time to convey your professional evaluation. On behalf of my colleagues, I offer our gratitude and appreciation for your comments and perspectives.

Sincerely,

XXX

Last Revision:

October 5, 2022

## 6.4 Preliminary Tenure Reviews for Tenure-Track Faculty

### Governing Policies

Section 8.1.4, Faculty Handbook – Preliminary Tenure Review

### Procedure

Preliminary Tenure Reviews of tenure-track faculty normally takes place during the sixth semester of the faculty member's tenure-track service as determined in the Academic Affairs Calendar; it may occur earlier but not later. The primary purpose of this review is to inform the faculty member and their department about progress toward promotion and tenure.

The process used to conduct a preliminary tenure review is detailed in section 8.1.4 of the Faculty Handbook. Briefly, the candidate prepares a dossier that is forwarded to the Departmental Promotion and Tenure (DPT) Committee for review. DPT considers the package and makes formal recommendations that are forwarded to the Department Head.

The Department Head, in turn, reviews the dossier, the DPT Committee recommendation and makes their own formal recommendation. Upon completion of this process, the Department Head reviews the package, process, and findings with their portfolio Dean. The Department Head then meets with the candidate, provides them copies of all of the written recommendations, and discusses the findings of the preliminary tenure review process. The Dean notifies the Provost that preliminary tenure review process has concluded and specifically informs the Provost of untenured individuals who have been identified as "at risk" in terms of performance. The Provost may subsequently require formal presentation of remediation plans for faculty "at risk."

For additional considerations on preparing an application package that includes information relevant to the DPT and Department Head, please see Section 6.5 of the Procedures Manual.

The content of the preliminary tenure review package must conform to the regular promotion and tenure package defined in the Package Template provided on the Academic Affairs website, with the following exceptions:

Faculty Type	Package Exclusions
Tenure/Tenure Track	Item 4 - Candidate statement should focus on career progress since beginning the Mines appointment, contextualizing previous work if appropriate. Item 10 – External evaluation letters should be omitted.

Last Revision:

October 5, 2022

## 6.5 Expectations of Department Heads, DPTs, and UPT

### GOVERNING POLICIES

Section 8, Faculty Handbook – Promotion and Tenure

#### A. Expectations of Departmental Promotion and Tenure Committees (DPTs)

The DPT plays a critical role in the process for evaluating candidates. Specific expectations for the DPT, in addition to the duties stated in the Faculty Handbook and the Procedures Manual, can improve clarity, transparency, and consistency in DPT operations across campus. As DPT evaluations are based largely on a collection of individual opinions, it may be difficult to ensure consistency in DPT decisions. Thus, it is recommended that DPTs take on a more active, regular role in advising faculty members seeking P&T, as this would provide greater clarity of expectations for individual faculty members.

- The DPT should define commonly held discipline-specific criteria for successful candidates comparable to criteria at peer and aspirational peer programs, and these guidelines should be shared with the department and provided to all faculty after approval from the DH and Dean. The DPT's evaluation and eventual recommendation should define these criteria, and be consistent with them.
- P&T evaluations and discussions may have a serious impact on the morale of the faculty member being evaluated, and also on the morale of the entire department. Thus, the DPT should consider wording its recommendation letters carefully: they should be factual and, if appropriate, contain objective and clear evaluations of candidate qualifications relative to P&T expectations.
- DPTs should develop plans for mentoring and providing feedback to untenured colleagues on the tenure-track. At a minimum, the Chair of the DPT should meet at least once per year with each tenure-track faculty member to discuss progress toward tenure and/or promotion and to provide recommendations and feedback.

#### B. Expectations of the Department Head (DH)

The DH plays an important role in the P&T process through several activities: providing regular mentoring of untenured faculty members; monitoring the process from package submission to recommendation to the UPT; selecting external letter writers and request input; and providing an evaluation of the candidate that may include relevant information not considered by the DPT.

- The DH should ensure that external letters are provided in a timely fashion. Selection of letter writers should follow the language in the Faculty Handbook and the Procedures Manual.

- The DH recommendation must be comprehensive, addressing all criteria defined for P&T. They must be supportable by the evidence presented in the dossier, external reference letters, and/or the DPT recommendation. In addition, the DH letter should also clarify the discipline-specific norms and expectations.
- The DH is in a unique position with regard to P&T because they interact with all faculty members in a manner that is not typical for faculty-faculty interactions, and is also responsible for implementing important departmental/portfolio/University initiatives or requirements for which a majority of faculty members in the Department may not be knowledgeable. Thus, the DH recommendation should address any considerations not addressed by the DPT, such as special contributions toward important departmental, portfolio, or University goals, participation in interdisciplinary programs, or other information deemed relevant.
- In each annual evaluation, the DH should clearly assess progress towards P&T. This assessment must be based on a compilation of previous years' efforts and outcomes.
- The DH should meet at least once per year with untenured tenure-track faculty members, in addition to the annual evaluation, to discuss progress toward P&T. The DH should provide recommendations and feedback to the faculty member at each meeting about how to proceed towards successful promotion, and talk through the departmental guidelines developed by the DPT and approved by the DH and Dean.

#### C. Expectations of the University Promotion and Tenure Committee (UPT)

The Faculty Handbook currently defines the function and responsibility of the UPT in Sections 8 and 12.8.1, but the Faculty Senate has proposed to the Handbook committee a more detailed articulation of UPT responsibilities and processes. Once this has been addressed by the Handbook Committee, the Faculty Senate should update this paragraph to delineate expectations for UPT not otherwise addressed in the Handbook.

#### D. Expectations of the Deans

The Faculty Handbook currently defines the function and responsibility of the Dean in Section 8.1.6. The Dean should also approve all departmental P&T guidelines noted in sections above before circulation to departmental faculty.

Last Revision:

October 5, 2022

## 6.6 Demonstration of Attainment of Promotion and/or Tenure Criteria for Tenure-Line Faculty

### Governing Policies

Section 8, Faculty Handbook – Promotion and Tenure

### Procedure

This section seeks to define clear expectations for Mines faculty members regarding Promotion and Tenure (P&T). It was drafted by a committee of faculty members, including the Provost, and approved by the Mines Faculty Senate on April 26, 2016. Any substantive

amendments to this section must be approved by the Faculty Senate; non-substantive edits (such as clarifications or refinements in wording, organization, etc.) may be made in consultation with the Faculty Senate President.

Reviewers at all levels shall consult this document -- in conjunction with pertinent sections of the Mines Faculty Handbook -- and consider these criteria in evaluating P&T applications. Guidelines and expectations for each of the various P&T review groups are provided in Section III below.

In the event of a conflict between the Handbook and this document, the Handbook shall prevail.

## I. Defining a Path to Excellence

Mines is committed to excellence and impact through its teaching, scholarship (research), and service. Mines aspires to be a leading STEM-focused university, known for the uniqueness and quality of its programs, strength of its faculty, success of its graduates, its innovations and entrepreneurial output, strong relationships with industry, and the impact that all of these have locally, nationally, and globally.

The University expectations for P&T discussed below are aligned with Mines' aspirations and allow for further specification at the portfolio, Department, and Program levels.

## II. University Expectations of Tenure-Line Faculty Members Seeking Promotion and Tenure, and Example Evaluation Elements

The following expectations for P&T are cumulative, as a faculty member being considered for promotion and/or tenure at a higher rank shall meet all the expectations for that specific evaluation as well as all the expectations for lower level advancements.

The hiring process should be considered a first step in the promotion and tenure process. Mines expects that evaluations of faculty candidates consider each candidate's qualifications and projected future development relative to its P&T expectations; it is also important that the P&T expectations are communicated to the prospective candidates. This is important to ensure that new faculty members arrive at Mines with the expectation they will move through the P&T process successfully and in a timely fashion.

### A. Advancement from Assistant/Associate Professor without Tenure to Associate Professor with Tenure

The University's expectation is that all faculty members hired as tenure-track assistant or associate professors will achieve tenure by building records that include sustained and impactful contributions in teaching, scholarship, and mentoring, and effective contributions to both University and professional service.

Those receiving favorable recommendations for promotion and tenure will have a record of accomplishments such that evaluators conclude that the applicant can and will continue to contribute to the goals of the Department, portfolio, and Mines at a level expected of Associate Professors.

The following are expected as appropriate to the particular department or program:

- Dedicated, high quality student instruction at both the undergraduate and graduate levels, where these programs exist, at typical program instructional loads.
- Demonstrate potential for national and international professional recognition.
- Successful mentoring and completion of graduate students at the PhD, MS-thesis, and MS-non-thesis levels, where those graduate programs exist.
- Impactful and sustained scholarship, which may include entrepreneurial outcomes.
- Demonstrated ability to attract external resources as needed to support a strong scholarship program.
- A history of professional, respectful, and ethical interactions with other faculty members, students, and staff.
- Professional service contributions that enhance the faculty member's visibility and the visibility of Mines.
- University service that demonstrates measurable contributions to Mines.

More details on possible paths to success are outlined below.

Consistent with Mines' "excellence" and "impact" goals discussed above, the success and impact of graduate student mentoring, scholarship, and service are judged relative to norms at comparable programs at peer and aspirational peer universities.

At Mines, a faculty member must go up for tenure no later than the fall of their 6th year as a T/TT professor, unless an extension has been granted. The Faculty Handbook permits consideration of tenure and promotion earlier than the 6th year. Two early-consideration situations exist: (a) faculty members who start their career as Assistant Professors at Mines, and (b) faculty members who are hired at Mines after several successful years at a peer university or other entity (e.g., government laboratory).

For situation (a), candidates are expected to demonstrate a very strong case of sustainable scholarship and success in teaching,

For situation (b), the candidate's performance at their previous institution(s) should be given full credit in the evaluation of tenure and/or promotion at Mines.

In either scenario, the candidate shall be evaluated solely on the strength of their record in meeting the criteria outlined here, not on time served. Length of service at Mines or elsewhere is not a specific consideration, and candidates seeking early tenure shall be held to neither a higher nor a lower standard than those of other candidates.

Prior to submittal of a completed package for review, potential candidates are strongly encouraged to discuss their cases with the chair of the Departmental Promotion and Tenure Committee (DPT), the Department Head, and colleagues beyond their department.

### Examples of successful teaching for those promoted to Associate Professor with tenure may include:

- Dedicated, high-quality student instruction at the undergraduate and graduate levels as demonstrated by the following: student evaluations, peer evaluations/observations, a teaching portfolio that includes examples of teaching methods and/or effectiveness, teaching statements, and teaching awards. In general, it is expected that all faculty members participate in the teaching mission of the Department/Program, portfolio, and Mines by teaching courses that

are required by degree programs, and teach and teach well at both the undergraduate and graduate levels.

- Designing or leading of classroom activities that enhance the educational experience or that are important to the teaching mission, including leading undergraduate and graduate independent studies, advising senior design teams, teaching field session, etc.
- Development and implementation of highly effective or innovative teaching methods and incorporation of feedback from formalized assessments, where appropriate.
- Development of teaching infrastructure.
- Developing new courses or creating enhancements to existing course structures.
- Demonstration of successful out-of-classroom activities that enhance learning or the student experience, including relevant publications, participation in workshops and development activities to improve as an instructor.
- Demonstrating effectiveness in creating an academic environment that is open, supportive, and encouraging to all students, including development of particularly effective strategies for the educational advancement of students in various underrepresented groups.
- Demonstrating quality mentoring and the successful completion of graduate students at the PhD or MS-thesis levels, where graduate programs exist, and/or evidence that current PhD students are on track to graduate (e.g., published journal papers, outputs of research co-authored by graduate students, completed milestone exams, etc.). Evaluators may also consider the post-graduate placement and career success of graduated students as indicators of successful graduate student mentoring. Significant mentoring, supervision, or participation in non-thesis master's programs may also be relevant.
- Textbooks, reports, circulars, and similar publications normally are considered evidence of teaching ability or public service. However, contributions by faculty members to the professional literature or to the advancement of professional practice or professional education, including contributions to the advancement of equitable access and diversity in education, should be judged creative work when they present new ideas or original scholarly research.
- Exhibiting the ability to acknowledge problems encountered when teaching and to make appropriate adjustments with the goal of continuous improvement.

**Examples of activities that demonstrate impactful and sustained scholarship (which may include entrepreneurial outcomes) for those promoted to Associate Professor with tenure may include:**

- Peer-reviewed archival publications, including journal articles, book chapters and monographs, and peer-reviewed conference presentations/publications. Candidates should provide supporting evidence (for example, press coverage, journal acceptance rates) that will yield insight into the quality and impact of any work reported.
- Documented use of the output from the candidate's research and entrepreneurial activities by others for their research and entrepreneurial activities, where examples might include working with industry, governments or municipalities to enhance operations via diffusion of technology into practice; citations in policy briefs or policy papers or involvement in the development of industry guidelines; providing expert input to media offerings; serving as an expert resource for written, broadcast, or internet media. Such activities may also include local, national, or international community outreach.

- Successful proposals for external support of research activity as needed to support a strong scholarship program.
- Demonstration by Assistant Professors that they have moved well past the research of their terminal degree and are successful at establishing new and productive lines of inquiry, with a trajectory that indicates a career of sustainable and impactful scholarship
- Development of special facilities to support research activities for multiple faculty members and student researchers at Mines.
- Invitations to give talks at regional, national or international meetings, or at other universities/research centers.
- Invention disclosures, patent applications, and patent awards.
- Creation of new commercial entities or organizations that will incubate, develop, and deploy technologies resulting from research or transfer results from research into existing commercial entities.
- Meaningful contributions to science and technology policy or societal debate, development, and deployment. Examples might include testifying as an expert in front of state or national legislatures or international governing bodies, writing white papers supporting the development and implementation of appropriate policies or community engagement strategies.
- In certain fields, such as the arts, humanities, and social sciences, distinguished creation should receive consideration appropriate for these disciplines. In evaluating creativity, an attempt should be made to define the candidate's merit in the light of such criteria as originality, scope, richness, and depth of creative expression, as per accepted standards in those fields.

**Professional service contributions typical of those promoted to Associate Professor with tenure that enhance the faculty member's visibility and the visibility of Mines may include:**

- Manuscript reviews for scholarly archival journals or peer-reviewed conference proceedings,
- Reviewing for professional organizations, funding agencies, or national labs,
- Member of University, portfolio, Departmental, or Program Committees,
- Organizer of sessions at national or international professional meetings,
- Member of a subcommittee in a national or international professional organization,
- Service designed to enhance public knowledge and familiarity with diffusion of technology,
- Service on national advisory boards and committees,
- Service to the University through shared-resource acquisition and development or development of research or teaching infrastructure,
- Involvement in activities that enhance the student experience,
- Undergraduate student advising,
- Graduate academic advising (e.g., advising non-thesis graduate students),
- Organization, submission, and acquisition of training grants to support education activities,
- A history of professional and respectful interactions with other faculty members, students, and staff, within Mines, including collaboration and constructive cooperation in teaching, scholarship, and service,

without hostile, demeaning, aggressive, disrespectful, or exploitative interactions with faculty members, staff, or students.

## B. Advancement from Associate Professor or Professor without Tenure to Professor with Tenure

Those receiving favorable recommendations will have achieved national and international recognition, including evidence of significant leadership in their field(s). The successful applicant will demonstrate detailed evidence for potential of continued scholarly excellence and leadership, and in addition should promote the vision and goals of their Department and/or Programs and Mines, internally and externally.

Candidates should demonstrate sustained performance for all expectations listed in Section II.A. In addition, candidates should demonstrate the following:

- Significant leadership in the candidate's field(s) that enhances the faculty member's visibility and the visibility of Mines. The leadership may be associated with teaching, scholarship, and/or organizations that promote either education or research.
- National and international recognition and reputation.
- Success with mentoring and completion of graduate students at the PhD, MS-thesis, and MS-non-thesis levels, where those graduate programs exist.
- Institutional service, including leadership roles, to the Department and/or Programs and Mines.
- Demonstrated mentoring and other activities that help Mines' colleagues achieve promotion and/or tenure. This could be within the department or in other programs at Mines, as appropriate.

More details on possible paths to success are outlined below.

Consistent with Mines' "excellence" and "impact" goals discussed above, the success and impact of graduate student mentoring, scholarship, and service are judged relative to norms for faculty members at the rank of tenured full professor at comparable programs at peer and aspirational peer universities.

External validation of national and international recognition and reputation are important.

### Examples of successful teaching for those promoted to Professor with tenure may include:

- Dedicated, high-quality student instruction at both the undergraduate and graduate levels as demonstrated by the following: student evaluations, peer evaluations/observations, a teaching portfolio that includes examples of teaching methods and/or effectiveness, teaching statements, and teaching awards. In general, it is expected that all faculty members participate in the teaching mission of the Department/Program, portfolio, and Mines by teaching courses that are required by degree programs, and teach and teach well at both the undergraduate and graduate levels.
- Designing or leading of classroom activities that enhance the educational experience or that are important to the teaching mission, including leading undergraduate and graduate independent studies, advising senior design teams, teaching field session, etc.
- Development and implementation of highly effective or innovative teaching methods and incorporation of feedback from formalized assessments, where appropriate.

- Development of teaching infrastructure.
- Developing new courses or creating enhancements to existing course structures.
- Demonstration of successful out-of-classroom activities that enhance learning or the student experience, including relevant publications, participation in workshops and development activities to improve as an instructor.
- Demonstrating effectiveness in creating an academic environment that is open, supportive, and encouraging to all students, including development of particularly effective strategies for the educational advancement of students in various underrepresented groups.
- Completion of graduate students that includes graduation of PhD students (depending on norms for the discipline at peer and aspirational peer institutions). Evaluators may also consider the post-graduate placement and career success of graduated students as indicators of successful graduate student mentoring. Significant mentoring, supervision, or participation in thesis or non-thesis master's programs may also be relevant.
- Textbooks, reports, circulars, and similar publications normally are considered evidence of teaching ability or public service. However, contributions by faculty members to the professional literature or to the advancement of professional practice or professional education, including contributions to the advancement of equitable access and diversity in education, should be judged creative work when they present new ideas or original scholarly research.
- Exhibiting the ability to acknowledge problems encountered when teaching and to make appropriate adjustments with the goal of continuous improvement.

### Examples of activities that demonstrate impactful and sustained scholarship (which may include entrepreneurial outcomes) for those promoted to Professor with tenure may include:

- Peer-reviewed archival publications, including journal articles, book chapters and monographs, and peer-reviewed conference presentations/publications. Candidates should provide supporting evidence (for example, press coverage, journal acceptance rates) that will yield insight into the quality and impact of any work reported.
- Documented use of the output from the candidate's research and entrepreneurial activities by others for their research and entrepreneurial activities, where examples might include working with industry, governments or municipalities to enhance operations via diffusion of technology into practice; providing expert input to media offerings; serving as an expert resource for written, broadcast, or internet media. Such activities may also include local, national, or international community outreach.
- Successful proposals for external support of research activity as needed to support a strong scholarship program.
- Development of special facilities to support research activities for multiple faculty members and student researchers at Mines.
- National and international awards for research activity.
- Invitations to give talks at regional, national or international meetings, or at other universities/research centers. International reputation is particularly important for promotion to Professor.
- Invention disclosures, patent applications, and patent awards.
- Creation of new commercial entities or organizations that will incubate, develop, and deploy technologies resulting from research or transfer results from research into existing commercial entities.

- Meaningful contributions to science and technology policy or societal debate, development, and deployment. Examples might include testifying as an expert in front of state or national legislatures or international governing bodies, writing white papers supporting the development and implementation of appropriate policies or community engagement strategies; and participating in National Academy of Engineering, National Academy of Sciences, or National Research Council committees and panels.
- In certain fields, such as the arts, humanities, and social sciences, distinguished creation should receive consideration appropriate for these disciplines. In evaluating creativity, an attempt should be made to define the candidate's merit in the light of such criteria as originality, scope, richness, and depth of creative expression, as per accepted standards in those fields.

**Professional service contributions typical of those promoted to Professor with tenure that enhance the faculty member's visibility and the visibility of Mines may include:**

- Chair of a University, portfolio, Departmental, or Program committee,
- History of service on University, portfolio, Departmental or Program committees,
- Successful mentoring of untenured faculty members,
- Involvement in activities that enhance the student experience,
- Undergraduate student advising,
- Graduate academic advising (e.g., advising non-thesis graduate students),
- Editor or associate editor of a scholarly archival journal,
- Organizer of national or international professional meetings,
- Officer, or other substantive leadership position, in national or international professional organizations,
- Writing letters for promotion and tenure of colleagues,
- Service designed to enhance public knowledge and familiarity with/diffusion of technology,
- Service on national advisory boards and committees,
- Service to the university through shared-resource acquisition and development or development of research or teaching infrastructure,
- Organization, submission, and acquisition of training grants to support education activities,
- A history of professional and respectful interactions with other faculty members, students, and staff, within Mines, including collaboration and constructive cooperation in teaching, scholarship, and service, without hostile, demeaning, aggressive, disrespectful, or exploitative interactions with faculty members, staff, or students.

### III. Guidance for evaluators on implementation of the criteria

#### GENERAL

- Each committee and individual involved in the review process shall judge the candidate with respect to the criteria outlined in this document, evaluating whether the candidate is engaging in a program of work that is both sound and productive.
- External reference letters should be given significant weight because often the best information on the candidate's level of performance relative to the norms of their discipline at peer and aspirational peer universities and programs is discerned from the external letters.

- Evaluation of a faculty member's performance in teaching, scholarship, and service should be commensurate with their approved "distribution of effort agreement" as per section 7.1.1.A.2 in the Faculty Handbook. Reviewers shall exercise reasonable flexibility, balancing when the case requires, heavier commitment and responsibilities in one area against lighter commitments and responsibilities in another. However, outstanding performance in one area will not automatically compensate for a weak performance in another area.
- The criteria listed in this document will also guide the determination of the appropriate academic status for individuals joining the faculty above the rank of Assistant Professor.
- The examples listed in section II above are meant to be illustrative of items that candidates may document in a promotion dossier, and candidates are not expected to provide evidence of all the items listed as "examples" above.

#### SCHOLARSHIP

- Consistent with Mines' "excellence" and "impact" goals discussed above, successful applicants will have accomplishments and sustained excellence and impact in scholarship and entrepreneurial activities (when relevant) to be recommended for promotion and/or tenure. The success and impact of graduate student mentoring, scholarship, and service should be judged relative to norms at comparable programs at peer and aspirational peer universities. Candidates shall be evaluated with respect to applicable criteria in their fields and departments (or other loci of appointment). Such factors as graduating PhD or MS students, co-authorship with graduate students, the raising of research dollars, and the relative importance of certain research outputs such as conference papers and academic journals are field-dependent and should also be evaluated with respect to the standards and practices of the candidate's field(s). Accordingly, reviewers should recognize that metrics of performance are not the same in all disciplines, that many faculty members contribute to interdisciplinary programs, and that faculty members from several different disciplines may be employed within a single department.
- In evaluating the various activities and outcomes, quantity alone cannot be the deciding factor. The quality, significance, and impact of each contribution must be considered, ideally within the framework of the norms at peer and aspirational peer universities and programs. Evaluators must be confident and conscientious enough so that routine activity is not mistaken for serious accomplishment.
- Quality research may happen without associated research dollars; bringing in research dollars alone, without output, is likely not a sufficient measure of impact. Conversely, research dollars should be valued to the extent needed to fund a vibrant and impactful research program. The university recognizes the value of scholarship that is documented as having a high impact, even if it does not require extensive monetary support.

#### TEACHING

- Student success is highly valued at Mines. Applicants with poor to mediocre teaching and mentoring records should not be recommended for promotion and/or tenure. Faculty are expected to teach well at both undergraduate and graduate levels.

#### SERVICE

- The faculty plays an important role in the administration of the University and in the formulation of its policies. Recognition should



therefore be given to candidates who prove themselves to be able administrators and who participate effectively and imaginatively in faculty government and the formulation of departmental, portfolio, and University policies.

- Professional service is required and necessary for building reputations. Involvement by all faculty members in professional service activities is expected and required, although pre-tenure faculty should work closely with their Department Head to take on an appropriate amount of service. The significance and impact of service activities is assessed by evaluators, and the expectations are very different for applicants for promotion and/or tenure to Associate Professor and for promotion to Professor, as described above. Citizenship activities that are unrelated to professional roles in the University (e.g., coaching a school soccer team) while laudable, do not constitute evidence for P&T.

## INTERDISCIPLINARITY

- It is recognized that some faculty members may cross disciplinary boundaries in their research and/or teaching, and such innovation is valued at Mines. Evaluators should consider interdisciplinary work with respect to the standards in those disciplinary fields holistically.
- Research may involve multiple collaborators having different roles from a range of disciplines, and that some faculty members' research programs may be highly collaborative. Development of collaborative and/or interdisciplinary programs at Mines is encouraged and valued, and reviewers should consider these activities to be a positive attribute in evaluating applications for promotion and/or tenure. Faculty members may contribute to multi-investigator efforts in both lead and supportive roles, but in all cases the contributions should be significant and lead to research pursuits that would not be possible without their involvement. Successful faculty members will generally have records that reflect both lead and supporting roles in their research activities.
- Development of, and contribution to, interdisciplinary educational programs and courses is highly valued at Mines.

## DIVERSITY AND INCLUSION

- Contributions that promote diversity and equal opportunity are to be encouraged and given recognition in the evaluation of the candidate's qualifications. These contributions can take a variety of forms including efforts to advance equitable access to education, public service that addresses the needs of diverse populations, or research in a scholar's area of expertise that highlights inequalities.

## STANDARDS OF CONDUCT

- Professional and ethical behavior is also highly valued at Mines. There is an overarching University expectation that faculty and staff members exhibit the highest standards of personal integrity and professional responsibility as articulated in Section 6.2 of the Faculty Handbook. Applicants with evidence of hostile, demeaning, aggressive, disrespectful, or exploitive interactions with faculty members, staff, or students shall not be recommended for promotion and/or tenure.

## TIMING

- The expectations for candidates who have stopped their clock pre-tenure should be the same as those for candidates on the standard timeline. The additional time in rank due to the stopped clock should not result in higher expectations.

- In evaluating applications for promotion and/or "early" tenure, candidates shall be evaluated solely on the strength of their records in meeting the criteria outlined above, not on time-served. Length of service at Mines or elsewhere is not a specific consideration, and candidates seeking early tenure and/or promotion shall be held to neither a higher nor a lower standard than those of other candidates.

## AWARDING OF TENURE

- The awarding of tenure amounts to an institutional investment in the faculty member's long-term contribution to the scholarly and educational mission of the university. It is not merely a "reward" for doing what is expected; it is an investment in the future. Evaluators should review applications with this in mind and be satisfied that sufficient evidence of a continuing and maturing satisfaction of the various criteria is present in all cases.

## PROMOTION TO PROFESSOR

- Every Professor at Mines is expected to be a University leader, contributing in a major way to the mission of the Department, portfolio, and the University. Excellent performance and impactful activities in most of the major sectors of activity (teaching, scholarship, service, engagement) is expected. It is not enough to be successful at a level of productivity that was sufficient for promotion to Associate Professor for another five years of activity. There is an expectation of some qualitative difference in the scope and level of contributions for the promotion to Professor. For example, in the instructional arena, the types of activity that would be convincing of university leadership would include: teaching a broader range of classes, designing new courses, or participating substantially in curriculum development; and mentoring of PhD students to graduation. In research, one might expect: undertaking longer-range projects; the establishment of a substantial body of work that cements an expert's reputation; having multiple streams of inquiry in play; invitations to give keynote or other special presentations at conferences or universities, with national and international scope; leading interdisciplinary teams on more complex projects; collaborations with an expanding circle of colleagues, both at Mines and externally. Service contributions could include: chairing committees at the departmental and university levels; serving on national review panels; membership on editorial boards of quality journals; exhibiting intellectual leadership that advances the institution beyond the goals of a faculty member's department and beyond the accolades of their own career; and leadership in professional societies.

Last Revision:

August 2, 2022

# 6.7 Demonstrations of Attainment of Promotion Criteria for Teaching Faculty

## Governing Policies

Section 8, Faculty Handbook – Promotion and Tenure

## PROCEDURE

This section seeks to define clear expectations for Mines teaching faculty members regarding Promotion. Reviewers at all levels shall

consult this document -- in conjunction with pertinent sections of the Mines Faculty Handbook -- and consider these criteria in evaluating promotion applications. Guidelines and expectations for each of the various promotion review groups are provided in Section III below. In the event of a conflict between the Handbook and this document, the Handbook shall prevail.

## I. Defining a Path to Excellence

Mines is committed to excellence and impact through its teaching, scholarship and service. Mines aspires to be a leading STEM-focused university, known for the uniqueness and quality of its programs, strength of its faculty, success of its graduates, its innovations and entrepreneurial output, strong relationships with industry, and the impact that all of these have locally, nationally, and globally.

The University expectations for promotion discussed below are aligned with Mines' aspirations and allow for further specification at the portfolio, Department, and Program levels.

## II. University Expectations of Teaching Faculty Members Seeking Promotion, and Example Evaluation Elements

The following expectations for promotion are cumulative, as a faculty member being considered for promotion at a higher rank shall meet all the expectations for that specific evaluation as well as all the expectations for lower-level advancements.

The hiring process should be considered a first step in the promotion process. Mines expects that evaluations of faculty candidates consider each candidate's qualifications and projected future development relative to its promotion expectations; it is also important that the promotion expectations are communicated to the prospective candidates. This is important to ensure that new faculty members arrive at Mines with the expectation they will move through the promotion process successfully and in a timely fashion.

### A. ADVANCEMENT FROM TEACHING ASSISTANT PROFESSOR TO TEACHING ASSOCIATE PROFESSOR

The University's expectation is that all faculty members hired as assistant teaching professors will achieve promotion to teaching associate professor by building records that include sustained and impactful contributions in teaching and effective contributions to university service.

Those receiving favorable recommendations for promotion will have a record of accomplishments such that evaluators conclude that the applicant can and will continue to contribute to the goals of the Department, portfolio, and Mines at a level expected of Teaching Associate Professors.

The following are expected as appropriate to the department or program:

- A. high level of proficiency in the faculty member's subject area
- B. development of high-quality curricular and instructional materials
- C. mastery of effective instructional methods
- D. service to Mines including membership in institutional and/or departmental committees and/or participation in activities aimed at recruitment or retention of students, such as individual and group advising and development of promotional materials.

More details on possible paths to success are outlined below.

Consistent with Mines' "excellence" and "impact" goals discussed above, the success and impact of teaching and service are judged relative to norms at comparable programs at peer and aspirational peer universities.

The candidate shall be evaluated solely on the strength of their record in meeting the criteria, not on time served. Length of service at Mines or elsewhere is not a specific consideration.

Prior to submittal of a completed package for review, potential candidates are strongly encouraged to discuss their cases with the chair of the Departmental Promotion and Tenure Committee (DPT), the Department Head, and colleagues.

**Evidence to support criteria A, B, and C for those promoted to Teaching Associate Professor may include items listed below. The list is not meant to be exhaustive, nor is it meant to be a checklist:**

- Dedicated, high-quality student instruction as demonstrated by the following: student evaluations, peer evaluations/observations, examples of teaching methods and/or effectiveness, and teaching awards. In general, it is expected that all faculty members will participate in the teaching mission of the Department/Program, portfolio, and Mines.
- Designing or leading classroom activities that enhance the educational experience or that are important to the teaching mission
- Development and implementation of highly effective or innovative teaching methods and incorporation of feedback from formalized assessments, where appropriate.
- Developing new courses or creating enhancements to existing course structures.
- Exhibiting the ability to acknowledge problems encountered when teaching and to make appropriate adjustments with the goal of continuous improvement.

**Evidence to support criteria D for those promoted to Teaching Associate Professor may include items listed below. The list is not meant to be exhaustive, nor is it meant to be a checklist:**

- Member of University, portfolio, Departmental, or Program Committees,
- Organizer of sessions at professional meetings,
- Member of a committee in a national or international professional organization,
- Service to the University through shared-resource acquisition and development or development of teaching infrastructure,
- Involvement in student clubs or other activities that enhance the student experience,
- Undergraduate student advising,
- A history of professional and respectful interactions with other faculty members, students, and staff, within Mines, including collaboration and constructive cooperation in teaching, scholarship, and service

### B. ADVANCEMENT FROM Teaching ASSOCIATE PROFESSOR TO TEACHING PROFESSOR

The successful applicant will demonstrate detailed evidence for continued excellence and leadership as noted in A, B, C, and D above, and in addition should promote the vision and goals of their Department and/or Programs and Mines, internally and externally.

The following are expected as appropriate to the department or program:

- A. demonstration of leadership, which may include developing upper-level courses, coordinating courses, mentoring junior faculty, and/or coordinating program-wide efforts to assess and evaluate student learning outcomes,
- B. demonstration of knowledge and application of existing discipline-specific educational research, and
- C. significant service to Mines in the categories defined above

Finally, the following criteria may also be considered, but do not have to be met, for promotion to either teaching associate professor or teaching professor:

- A. publications related to educational and/or scholarly activities, and
- B. significant participation in local, national, or international professional organizations.

More details on possible paths to success are outlined below.

Consistent with Mines' "excellence" and "impact" goals, the success and impact of leadership, teaching, and service are judged relative to norms for faculty members at the rank of teaching professor at comparable programs at peer and aspirational peer universities.

**Evidence to support criteria E and F for those promoted to Teaching Professor may include items listed below. The list is not meant to be exhaustive, nor is it meant to be a checklist:**

- Coordination of courses
- Mentoring of faculty
- Initiative and/or innovation in the development of new course or program curriculum or infrastructure, especially efforts influenced by educational research
- Demonstration of successful out-of-classroom activities that enhance learning or the student experience, including participation in workshops and development activities to improve as an instructor.
- Demonstrating effectiveness in creating an academic environment that is open, supportive, and encouraging to all students, including development of particularly effective strategies for the educational advancement of students in various underrepresented groups.
- Course, department, or campus wide efforts to assess and evaluate learning outcomes.

**Evidence to support criteria E and G for those promoted to Teaching Professor may include items listed below. The list is not meant to be exhaustive, nor is it meant to be a checklist:**

- Chair of a University, portfolio, Departmental, or Program committee,
- History of service on University, portfolio, Departmental or Program committees,
- Successful mentoring of students and/or faculty members,
- Involvement in activities that enhance the student experience,
- Undergraduate student advising,
- Organizer of national or international professional meetings,
- Officer, or other substantive leadership position, in national or international professional organizations,
- Service to the university through shared-resource acquisition and development or development of teaching infrastructure,

- A history of professional and respectful interactions with other faculty members, students, and staff, within Mines, including collaboration and constructive cooperation in teaching, scholarship, and service

### III. Guidance for evaluators on implementation of the criteria

#### GENERAL

Each committee and individual involved in the review process shall judge the candidate with respect to the criteria outlined in the Faculty Handbook, evaluating whether the candidate is engaging in a program of work that is both sound and productive.

- Evaluation of a faculty member's performance in teaching, leadership, and service should be commensurate with their assigned duties. Reviewers shall exercise reasonable flexibility, balancing when the case requires, heavier commitment and responsibilities in one area against lighter commitments and responsibilities in another. However, outstanding performance in one area will not automatically compensate for a weak performance in another area.
- The criteria listed in this document will also guide the determination of the appropriate academic status for individuals joining the faculty above the rank of Teaching Assistant Professor.
- The examples listed in section II above are meant to be illustrative of items that candidates may document in a promotion dossier, and candidates are not expected to provide evidence of all the items listed as "examples" above.

#### INTERDISCIPLINARITY

- It is recognized that some faculty members may cross disciplinary boundaries in their teaching, and such innovation is valued at Mines. Evaluators should consider interdisciplinary work with respect to the standards in those disciplinary fields holistically.
- Development of, and contribution to, interdisciplinary educational programs and courses is highly valued at Mines.

#### DIVERSITY AND INCLUSION

- Contributions that promote diversity and equal opportunity are to be encouraged and given recognition in the evaluation of the candidate's qualifications. These contributions can take a variety of forms including efforts to advance equitable access to education, public service that addresses the needs of diverse populations, or research in a scholar's area of expertise that highlights inequalities.

#### STANDARDS OF CONDUCT

- Professional and ethical behavior is also highly valued at Mines. There is an overarching University expectation that faculty and staff members exhibit the highest standards of personal integrity and professional responsibility as articulated in Section 6.2 of the Faculty Handbook. Applicants with evidence of hostile, demeaning, aggressive, disrespectful, or exploitive interactions with faculty members, staff, or students shall not be recommended for promotion

#### PROMOTION TO TEACHING PROFESSOR

- Every Teaching Professor at Mines is expected to be a University leader, contributing in a major way to the mission of the Department, portfolio, and the University. Excellent performance and impactful activities in most of the major sectors of activity (teaching, leadership, service, engagement) is expected. It is not enough to be successful

at a level of productivity that was sufficient for promotion to Teaching Associate Professor for another five years of activity. There is an expectation of some qualitative difference in the scope and level of contributions for the promotion to Teaching Professor. For example, in the instructional arena, the types of activity that would be convincing of university leadership would include: teaching a broader range of classes, designing new courses, or participating substantially in curriculum development. Service contributions could include: chairing committees at the departmental and university levels; exhibiting intellectual leadership that advances the institution beyond the goals of a faculty member's department and beyond the accolades of their own career; and leadership in student organizations.

Last Revision:

August 2, 2022

## 6.9 Demonstration of attainment of promotion criteria for research faculty

### Governing policies

Section 8, Faculty Handbook – Promotion and Tenure

### PROCEDURE

This section seeks to define clear expectations for Mines research faculty members regarding promotion. Reviewers at all levels shall consult this document -- in conjunction with pertinent sections of the Mines Faculty Handbook -- and consider these criteria in evaluating promotion applications. Guidelines and expectations for each promotion step are provided below. In the event of a conflict between the Handbook and this document, the Handbook shall prevail.

The following expectations for promotion are cumulative, as a research faculty member being considered for promotion at a higher rank shall meet all the expectations for that specific evaluation as well as all the expectations for lower-level advancements.

The hiring process should be considered a first step in the promotion process. Mines expects that evaluations of research faculty candidates consider each candidate's qualifications and projected future development relative to promotion expectations; it is also important that the promotion expectations are communicated to the prospective candidates.

### A. ADVANCEMENT FROM ASSISTANT RESEARCH PROFESSOR TO ASSOCIATE RESEARCH PROFESSOR

The University's expectation is that all research faculty members will build records that include sustained and impactful contributions in scholarship and mentoring. Those receiving favorable recommendations for promotion will have a record of accomplishments such that evaluators conclude that the applicant can and will continue to contribute to the research goals of the Department, portfolio, and Mines at a level expected of Associate Research Professors.

The following are expected:

- Demonstrating quality mentoring and the successful completion of graduate students at the PhD or MS-thesis levels (meaning candidates should have requested and received Graduate Faculty Status) where graduate programs exist, and/or evidence that current PhD students are on track to graduate (e.g., published journal papers, outputs of research co-authored by graduate students, completed milestone exams, etc.). Evaluators may also consider the post-graduate placement and career success of graduated students as indicators of successful graduate student mentoring. Significant mentoring, supervision, or participation in non-thesis master's programs may also be relevant.
- Demonstrated potential for national professional recognition.
- Impactful and sustained scholarship, which may include entrepreneurial outcomes.
- Demonstrated ability to attract external resources as needed to support a strong scholarship program.
- Demonstrated effectiveness in creating an academic environment that is open, supportive, and encouraging to all students, including development of particularly effective strategies for the educational advancement of students in various underrepresented groups.
- A history of professional and respectful interactions with other faculty members, students, and staff, within Mines, including collaboration and constructive cooperation in teaching, scholarship, and service, without hostile, demeaning, aggressive, disrespectful, or exploitative interactions with faculty members, staff, or students.

### Examples of activities that demonstrate impactful and sustained scholarship (which may include entrepreneurial outcomes) for those promoted to Associate Research Professor may include:

- Peer-reviewed archival publications, including journal articles, book chapters and monographs, and peer-reviewed conference presentations/publications, including publications with mentored students. Candidates should provide supporting evidence (for example, press coverage, journal acceptance rates) that will yield insight into the quality and impact of any work reported.
- Documented use of the output from the candidate's research and entrepreneurial activities by others for their research and entrepreneurial activities, where examples might include working with industry, governments or municipalities to enhance operations via translation of technology into practice; citations in policy briefs or policy papers or involvement in the development of industry guidelines; providing expert input to media offerings; or serving as an expert resource for written, broadcast, or internet media. Such activities may also include local, national, or international community outreach.
- Successful proposals garnering external support of research activity as needed to support a strong scholarship program.
- Demonstration by Assistant Research Professors that they have moved well past the research of their terminal degree and are successful at establishing new and productive lines of inquiry, with a trajectory that indicates a career of sustainable and impactful scholarship.
- Development of special facilities to support research activities for multiple faculty members and student researchers at Mines.
- Invitations to give talks at regional, national or international meetings, or at other universities/research centers.
- Invention disclosures, patent applications, and patent awards.

- Creation of new commercial entities or organizations that will incubate, develop, and deploy technologies resulting from research or transfer results from research into existing commercial entities.
- Meaningful contributions to science and technology policy or societal debate, development, and deployment. Examples might include testifying as an expert in front of state or national legislatures or international governing bodies, writing white papers supporting the development and implementation of appropriate policies or community engagement strategies.
- In certain fields, such as the arts, humanities, and social sciences, distinguished creation should receive consideration appropriate for these disciplines. In evaluating creativity, an attempt should be made to define the candidate's merit in the light of such criteria as originality, scope, richness, and depth of creative expression, as per accepted standards in those fields.

## B. ADVANCEMENT FROM ASSOCIATE RESEARCH PROFESSOR TO RESEARCH PROFESSOR

Those receiving favorable recommendations will have achieved national and international recognition, including evidence of significant leadership in their field(s). The successful applicant will demonstrate detailed evidence for potential of continued scholarly excellence and leadership.

Candidates should demonstrate sustained performance for all expectations listed in Section A. In addition, candidates should demonstrate the following:

- Significant leadership in the candidate's field(s) that enhances the research faculty member's visibility and the visibility of Mines.
- National and international recognition and reputation.
- Success with mentoring and completion of graduate students at the PhD, MS-thesis, and MS-non-thesis levels, where those graduate programs exist.
- Institutional service to the Department and/or Programs and Mines is valued, but not required for promotion to Research Professor.

More details on possible paths to success are outlined below.

**Examples of activities that demonstrate impactful and sustained scholarship (which may include entrepreneurial outcomes) for those promoted to Research Professor may include:**

- Peer-reviewed archival publications, including journal articles, book chapters and monographs, and peer-reviewed conference presentations/publications. Candidates should provide supporting evidence (for example, press coverage, journal acceptance rates) that will yield insight into the quality and impact of any work reported.
- Documented use of the output from the candidate's research and entrepreneurial activities by others for their research and entrepreneurial activities, where examples might include working with industry, governments or municipalities to enhance operations via translation of technology into practice; providing expert input to media offerings; serving as an expert resource for written, broadcast, or internet media. Such activities may also include local, national, or international community outreach.
- Successful proposals garnering external support of research activity as needed to support a strong scholarship program.
- Development of special facilities to support research activities for multiple faculty members and student researchers at Mines.
- National and international awards for research activity.

- Invitations to give talks at regional, national or international meetings, or at other universities/research centers. International reputation is particularly important for promotion to Research Professor.
- Invention disclosures, patent applications, and patent awards.
- Creation of new commercial entities or organizations that will incubate, develop, and deploy technologies resulting from research or transfer results from research into existing commercial entities.
- Completion of graduate students that includes graduation of PhD students (depending on norms for the discipline at peer and aspirational peer institutions). Evaluators may also consider the post-graduate placement and career success of graduated students as indicators of successful graduate student mentoring. Significant mentoring, supervision, or participation in thesis or non-thesis master's programs may also be relevant.
- Textbooks, reports, circulars, and similar publications normally are considered evidence of teaching ability or public service. However, contributions by faculty members to the professional literature or to the advancement of professional practice or professional education, including contributions to the advancement of equitable access and diversity in education, should be judged creative work when they present new ideas or original scholarly research.
- Meaningful contributions to science and technology policy or societal debate, development, and deployment. Examples might include testifying as an expert in front of state or national legislatures or international governing bodies, writing white papers supporting the development and implementation of appropriate policies or community engagement strategies; and participating in National Academy of Engineering, National Academy of Sciences, or National Research Council committees and panels.
- In certain fields, such as the arts, humanities, and social sciences, distinguished creation should receive consideration appropriate for these disciplines. In evaluating creativity, an attempt should be made to define the candidate's merit in the light of such criteria as originality, scope, richness, and depth of creative expression, as per accepted standards in those fields.

## I. Guidance for evaluators on implementation of the criteria

### GENERAL

Each committee and individual involved in the review process shall judge the candidate with respect to the criteria outlined in this document, evaluating whether the candidate is engaging in a program of work that is both sound and productive.

External reference letters should be given significant weight because often the best information on the candidate's level of performance relative to the norms of their discipline is discerned from the external letters.

The criteria listed in this document will also guide the determination of the appropriate academic status for individuals joining the faculty above the rank of Assistant Research Professor.

The examples listed in section I above are meant to be illustrative of items that candidates may document in a promotion dossier. Candidates are not expected to provide evidence of all the items listed as "examples" above.

### SCHOLARSHIP

The success and impact of graduate student mentoring and scholarship should be judged relative to norms at comparable programs at peer

and aspirational peer universities. Candidates shall be evaluated with respect to applicable criteria in their fields and departments (or other loci of appointment). Such factors as graduating PhD or MS students, co-authorship with graduate students, the raising of research dollars, and the relative importance of certain research outputs such as conference papers and academic journals are field-dependent and should also be evaluated with respect to the standards and practices of the candidate's field(s). Accordingly, reviewers should recognize that metrics of performance are not the same in all disciplines, that many faculty members contribute to interdisciplinary programs, and that research faculty members from several different disciplines may be employed within a single department.

In evaluating the various activities and outcomes, quantity alone cannot be the deciding factor. The quality, significance, and impact of each contribution must be considered, ideally within the framework of the norms at peer and aspirational peer universities and programs.

## DIVERSITY AND INCLUSION

Contributions that promote diversity and equal opportunity should be encouraged and given recognition in the evaluation of the candidate's qualifications.

## STANDARDS OF CONDUCT

Professional and ethical behavior is also highly valued at Mines. There is an overarching University expectation that faculty and staff members exhibit the highest standards of personal integrity and professional responsibility as articulated in Section 6.2 of the Faculty Handbook. Applicants with evidence of hostile, demeaning, aggressive, disrespectful, or exploitive interactions with faculty members, staff, or students shall not be recommended for promotion.

## PROMOTION TO RESEARCH PROFESSOR

Every Research Professor at Mines is expected to be a research leader, contributing in a major way to the research mission of the Department, portfolio, and the University. It is not enough to be successful at a level of productivity that was sufficient for promotion to Associate Research Professor; there is an expectation of some qualitative difference in the scope and level of research contributions for the promotion to Research Professor. One might expect: the establishment of a substantial body of work that cements an expert's reputation; having multiple streams of inquiry in play; invitations to give keynote or other special presentations at conferences or universities, with national and international scope; leading interdisciplinary teams on more complex projects; collaborations with an expanding circle of colleagues, both at Mines and externally.

Last Revision:

July 6, 2023

## Section 7 - Academic Procedures

- 7.1 Finals Week and Review Day Policies (p. 45)
- 7.2 Common Examination Policy (p. 46)
- 7.3 Employee Tuition Waivers (p. 47)
- 7.4 Guidelines for Visiting Committees (p. 48)

## 7.1 Academic Calendar and Activities Policies

### Designations of Days on Academic Calendar

On the academic calendar, Mines has the following designations for various types of days:

1. No-Class Days: No academic activities or assessments
  - Spring - *Spring break, President's Day, Friday of E-Days, Review Day, Snow Days*
  - Fall - *Fall Break, Wednesday before Thanksgiving, Review Day, Snow Days*
2. No-Assessment Days: No proctored or high stakes assessments but classes continue as usual
  - Spring - *Career Days, Thursday evening of E-Days, Monday after E-Days*
  - Fall - *Career Days*
3. Last Week of Class (week prior to Finals): No exams. Laboratory exams and quizzes, permitted. Classes conducted as usual
  - Spring - *M-W of Last Week of Class*
  - Fall - *M-W of Last Week of Class*
4. Finals Week: Only final exams or final project
  - Spring - *Only one major assessment per course*
  - Fall - *Only one major assessment per course*
5. Non-Restrictive Days: Operations as usual
  - Spring - *Class operates as usual*
  - Fall - *Class operates as usual*

Note that quizzes are short, low stakes exercises worth a small percentage of the overall course grade that take place on a regular basis, whereas exams are major exercises that take place only a few times a semester.

### Definitions

- Quizzes are short, low stakes exercises worth a small percentage of the overall course grade that take place on a regular basis.
- Exams are major exercises that take place only a few times a semester.

### No-Class Days

No-Class Days are days when campus is open, but no academic instruction is taking place. Snow days are called in the event of inclement weather which would pose a danger to students and faculty in route to campus. No required class meetings, examinations or activities may take place on these days. Faculty members may hold additional office hours or provide extra help and resources, provided these activities are strictly optional. No academic activities or assessments worth any type of credit may be due on these days. This includes make up or take-home exams. No-Class Days should be treated as "holidays" and weekends with no academic participation required.

The Testing Center, although open, will not be providing any types of proctoring services for any type of assessment on these days.

## No-Assessment Days

On No-Assessment Days faculty cannot schedule any kind of high-stakes assessment or assessment that requires live proctoring. Academic activities take place at the same time as other significant activities demanding a student's attention. The purpose of No-Assessment Days is to allow students to participate in university-sanctioned activities and/or events. Formal assessments needing live participation of any kind which will impact a student's grade in the class should not be scheduled on these days.

Academic activities which are **permitted** by this policy:

- Introducing new course content and materials during scheduled class time.
- Conducting laboratory sessions.
- Requiring homework assignments that are low stakes and do not need to be turned in during class, or in-person.

Academic activities that are explicitly **disallowed** by this policy include:

- Scheduling examinations or quizzes, including laboratory exams.
- Scheduling make-up exams.
- Assigning a take-home exam that is due on a No-Assessment Day.
- Assigning a major assessment (any effort worth more than 15% of the overall course grade) to be due on a No-Assessment Day. Projects with their corresponding presentations can count as one major assessment.

The Testing Center, although open, will not be providing any types of proctoring services for any type of assessment on No-Assessment Days.

## Last Week of Class

The last week of class is the Monday-Wednesday prior to Finals. During these days, classes are running as scheduled and students and faculty are beginning to wrap up the semester.

Academic activities that are **permitted** by this policy:

- Introducing new course content and materials.
- Conducting laboratory finals.
- Requiring homework or in-class assignments.
- Giving in-class quizzes (see definitions at top).
- Requiring major course assignments such as projects (paper with presentation) to be due during the last week of class or Finals Week, provided there is only one major assessment due during Finals Week. All major course assignments (anything worth over 15% of the overall course grade) must be assigned or announced at least 4 weeks in advance. Presentations must not be scheduled in conflict with other courses.
- Assigning take-home finals due anytime during Finals Week. Students must be allotted at least 48 hours for a take-home exam.
- Conducting make-up exams during the last week of class for students who miss (with an excused absence) a scheduled exam prior to the last week of class.

Academic activities that are explicitly **disallowed** by this policy include:

- Scheduling an examination (other than a laboratory exam), including an in-class final examination or a take-home final examination that is due during the last week of class.

- Assigning any type of assignment, project, or examination with a due date after the last day of Finals Week.
- Assigning more than one major assessment (any effort worth more than 15% of the overall course grade) to be due during Finals Week. Projects with their corresponding presentations can count as one major assessment. For classes with both a major project and a final exam, the project must be due before Finals Week.
- Scheduling make-up exams to begin before 7 AM or end after 10 PM.

The Testing Center will be open and providing proctoring services in accordance with the policy stated above during this week.

## Finals Week

Finals week is the week dedicated at the end of every term for final exams. Final examinations are scheduled by the Registrar. Except for courses requiring a common time, all finals will be scheduled based on the day and the hour the course is offered.

All examinations during Finals Week will be given only during the stated final examination period and are to appear on the Registrar's schedule. For classes with both a major project and a final exam, the project must be due before Finals Week.

Students with more than two exams or more than 6 hours of testing on the same day may request a make-up exam (to be provided by the course indicated in campus guidelines).

Faculty wishing to create exceptions to this policy should obtain permission from their Department Head. Students looking for clarifications on exceptions to this policy should speak with their instructor first. If need be, students can then reach out to the Department Head. Any situation that cannot be resolved by the Department Head can be referred to the appropriate Dean who will make the final decision.

Last revision:

September 29, 2023

## 7.2 Common Examination Policy

A unified "common" exam policy fulfills several objectives, providing for equal assessment of all students in several sections across one course, providing exam seating that exceeds normal classroom setup in number of seats, encouraging cross-section coordination in teaching, accommodating competing programmatic needs, reducing temptations for academic dishonesty, providing predictable and transparent guidelines for faculty and administration, and being respectful of the busy and demanding lives of our students.

This policy covers out-of-class midterm exams for all undergraduate courses with the exception of take-home exams, as noted:

- The evening common exam period is Monday through Thursday evenings, with one exam period each evening. The common hour exam start and end time will be determined by the registrar. Exams are limited to these 90 minutes.
- No course may request more than 3 evening common exam periods in a single semester. (Final exams are not included as part of this limitation.)

Common hour exams will be scheduled for first year (100 level) and sophomore (200 level) courses with multiple sections having a total enrollment of greater than or equal to 125 students. All other

undergraduate courses with multiple sections that do not meet the aforementioned criteria will be considered based upon space availability.

- Generally only 100-level courses are allowed to schedule an exam on Wednesday evenings.
- Priority for limited space goes to courses (or courses bundled) with largest enrollment.

Common hour exams must be accompanied by a day off during the scheduled meeting time, ideally right after the exam or as close to the exam as possible to compensate students for their time. The registrar makes the final decision on approving requests.

## STUDENT CONSIDERATIONS

Given the numerous scenarios and arguable disadvantages inherent to evening exams that include: (a) schedule conflicts with evening courses, (b) student commitments to important non-academic opportunities such as intramural and intercollegiate sports and student programs, and (c) the increasing prominence of student financial and family evening responsibilities (e.g., working on- or off-campus to subsidize the cost of education), faculty are kindly asked to judge the rationale for an evening exam against the aforementioned challenges.

## Testing Center PROTOCOLS

Mines Testing Center will prioritize faculty requested times for tests administered through the Testing Center. At times, such requests are not possible due to student schedule conflicts and Testing Center operations (e.g. occupancy or availability of private testing rooms). In such instances, the Testing Center is authorized to schedule the accommodated exam after the regularly scheduled exam as soon as possible.

## COURSE CONFLICTS

Regularly scheduled evening courses that meet partially or completely during the time of the common exam, Monday through Thursday, have priority over evening exams covered by this policy. Any course that schedules an out-of-class exam during the evening exam times assumes all responsibility for arranging make-up exams for students who have conflicts with regularly scheduled classes including courses that are part of the McBride Honors Program.

## EXAM CONFLICTS

If a student is scheduled in two exams on the same evening, the course or bundle of courses with the lower total enrollment will be required to provide the make-ups for affected students. The Registrar's Office will provide a list of the students with two exams in one time slot to the professor of the course with the lower enrollment with the reminder that make-up exams are the responsibility of that professor.

## FINAL SCHEDULE AND HARD DEADLINES

The initial schedule will be posted after all of the requests have been slotted or time slots are full. All requests must be submitted by the deadline as stated in the call for exams from the registrar's office.

Under no circumstance will requests be granted to use the evening common exam period for an out-of-class exam if requested after 5:00pm on the day before the first day of class (for the semester being scheduled). There are two reasons for this policy. First, faculty need to

make the appropriate exam arrangements with the Registrar's Office before the beginning of the semester. Second, syllabi for courses that utilize the evening common exam period need to include the common exam times as part of the syllabus. This is the only way to ensure students are aware of such non-standard class meeting times so they can make appropriate arrangements. Mid-semester decisions to administer exams outside of the regularly-scheduled class time are unfair to students, and not permitted, even if all students appear to approve of the change in schedule.

The final schedule of all out-of-class exams included under this policy will be published in the first week of the semester. No additional out-of-class exam requests will be considered after the above stated deadline. Faculty may not administer exams outside of regular class periods (with the exception of take-home exams) if the exam was not listed on the final schedule.

All out-of-class exams must be noted on this final list, even if the exam is being administered in a departmental room or other room not scheduled by the Registrar's Office.

## POLICY NOTES

Questions pertaining to policy, processes and administration of common hour exams should be directed to the registrar's office at registrar@mines.edu.

Last Revision:

July 6, 2023

Next revision due – January 2025 to go in to effect Fall 2025.

## 7.3 Employee Tuition Waivers

### Governing Policies

Section 5.3, Faculty Handbook – Enrollment in Mines Courses

### Procedure

Colorado School of Mines employees may apply to take one 3.0 credit hour class per semester, up to a total of 6.0 credits per academic year, and have tuition and fees waived for those courses other than a technology fee associated with course registration. Courses may be taken for credit or not-for-credit (audit). To take classes, the employee must apply as a Non-Degree Seeking student and note the class they wish to register for on the application. Non-Degree Applications can be submitted online at the following sites:

- Undergraduate Non-Degree
- Graduate Non-Degree, where all students holding an undergraduate degree must apply at the graduate level.

Once the employee's Non-Degree Application has been submitted and they have been registered for classes, they will receive a confirmation via e-mail. The employee must then complete an Employee Tuition Waiver. The Tuition Waiver must have all of the appropriate signatures and be submitted to the Registrar's Office for processing.

The spouse of an employee may also take one 3.0 credit hour class per semester, up to a total of 6.0 credits per academic year, and have tuition and fees waived for those courses other than a technology fee associated with course registration. Courses taken by the spouse of a



Mines employee must be taken on a not-for-credit (audit) basis. The spouse of an employee must follow the same procedure to apply as a Non-Degree student and complete an Employee Tuition Waiver.

Dependents of benefit-eligible employees may attend Mines at a reduced tuition rate. For additional information, refer to the Employee Benefits page on the Human Resources website. All employees, spouses, and dependents using any of the benefits described above must pay the technology fee associated with course registration.

Last Revision:

July 25, 2022

## 7.4 Guidelines for Visiting Committees

### Procedure

The following sections provide details of the procedures used to identify, schedule and host a visit of a departmental visiting committee.

### Purpose

A Visiting Committee is an advisory body that is charged by the Provost to assess and facilitate programmatic and operational developments within an academic unit and to report its findings to the Provost and the President. Visiting Committees are expected to:

- Represent the frontiers of the discipline nationally and internationally, as viewed from academia, industry and government circles;
- Evaluate the status and progress of the academic unit with respect to peers and the state-of-the-art in the discipline;
- Share long-range projections relevant to the discipline, thus identifying opportunities and possible future courses of action for the academic unit;
- Understand the operating environment for the academic unit at Mines and within the larger context of student and recruiter interest in the discipline, as well as in industry and government sponsored research; and
- Provide objective and constructive advice to the President, Provost, Vice President for Research and Technology Transfer (VPRTT), Dean, and Department Head regarding programmatic and operational developments within the department.

The Provost establishes a rotating schedule for visits by Visiting Committees. Typically, visits will occur once every three years. Visits are scheduled through the Office of the Provost in concurrence with the Office of the President. A schedule of upcoming visits is available through the Office of Academic Affairs.

### Visit Arrangements

Department staff coordinates all logistics for the visit, including Visiting Committee Members' travel arrangements (including appropriate travel forms; please look at Mines' travel policies), lodging reservations and transportation, food arrangements if necessary and conference or board room reservations.

Department staff should establish the availability of the President and the Provost prior to selecting a date by contacting the Provost's office. Visiting committees should normally be held during the months of September, October, November, January, February, March or April.

The visits are normally 1½ to 2 days in length and should include opportunities for interaction with administration, students and faculty.

### Procedures for Nominating Visiting Committee Members

1. The Department creates a recommendation list, which should include titles, complete addresses, current email addresses, and a brief biographical statement, approximately six months before the visit. A typical Visiting Committee consists of three to five external members. The Department Head, in consultation with the department faculty, should construct a list of seven to ten potential Committee members. At this time, the department should not contact/make commitments with potential committee members concerning membership on a Visiting Committee.
2. The list is forwarded to the Dean and Provost, who will coordinate with the Department Head, the VPRTT, and the President to select a final visiting committee. The Visiting Committee is a Committee that reports to the Provost, and as such the Provost has final authority in approving Committee members.
3. Once approval of a Committee is conveyed to the department, the department makes initial and informal contact with the potential Visiting Committee members to gauge their interest in serving on the Committee. The list of those potential members confirming their interest is forwarded to the President's office and copied to the Provost.
4. The Provost's Office prepares and mails formal letters of invitation to the members identified on the list (a sample letter is attached below).
5. The Provost's Office acknowledges all responses to the formal letter of Invitation and notifies the President and the Department.

### Example Letter

Date

Dear Dr. XXX:

I am writing to invite you to serve on the Visiting Committee for our DEPARTMENT at their upcoming meeting scheduled for DATE.

This is a critical time in the evolution of many of our departments and academic programs at Colorado School of Mines (Mines). We have challenged each to develop long-range "pathways of distinction" plans to become differentiated from other similarly-named programs at other schools, link more strongly to other programs at Mines, and ensure that we are producing highly-valued graduates and innovations from our educational and research efforts.

To this end, we have instructed each of our academic degree-granting units to consult with an external Visiting Committee, composed of experts with diverse backgrounds and interests appropriate to the mission of that unit and the University. Visiting Committees provide the University with short- and long-term programmatic recommendations and an external perspective on efforts and changes needed to accomplish their long-term plans.

As a Visiting Committee member, you are invited to participate in a visit to review progress and future plans, research activities, and faculty and student development. Visiting Committee visits are scheduled for approximately one and a half days. The morning of the first day will be devoted to formal presentations and discussions on materials distributed to the committee prior to the meeting. During the afternoon, committee

members will have opportunities to meet with faculty members and students. On the second day, the Visiting Committee will prepare a short draft report to present to campus leadership during an exit meeting. A final report from the committee will be sent to me following the visit, and you will receive responses coordinated through the Provost's Office following our internal review and discussion.

Appointments to the Visiting Committee are for one term. Members of the Visiting Committee will be reimbursed for travel costs associated with their visit to Mines, unless the member's employer is able to cover the cost.

I understand that you have expressed an interest in serving and sincerely hope you will be able to accept this important appointment. I hope to see you in MONTH.

Sincerely,

Rick Holz

cc: DEAN  
DEPARTMENT HEAD

## Visit Agenda

The agenda for each Visit must include the following elements:

### Day One

1. An initial meeting of the Committee with the Provost, the Vice Provost, the VPRTT, the Dean, and the Department Head (1 hour, usually 8:00-9:00 AM, usually in the Coors Board Room, which may be reserved through the President's Office as soon as the draft agenda is prepared). Academic Affairs will arrange for coffee and pastries for this meeting.
2. Various departmental meetings and activities, organized by the Department Head in consultation with departmental faculty. These normally include but are not limited to meetings with program faculty and students.
3. A meeting will be organized by the Department Head in consultation with the Dean's office. This meeting will include the Visiting Committee and the Dean of the appropriate portfolio.
4. An 'afternoon coffee' will be organized by Academic Affairs in consultation with the President's office. This meeting will include the Visiting Committee, the President, and the Provost.
5. A working dinner will be organized by the Department Head in consultation with the visiting committee members.

### Day Two

1. An exit meeting with the President, Provost, the Vice Provost, the VPRTT, the Dean and the Visiting Committee members to be held in the Coors Board Room to discuss what their recommendations would be to the Mines administration (approx. 2 hours). Lunch boxes will be provided by Academic Affairs.

## Visit Expenses

The Provost's office will provide reimbursement (up to \$4,000 per visiting committee) for air travel, hotel and ground transportation charges, along with all on-campus working meals. The department must cover any other expenses. The department is responsible for scheduling all committee travel (*Please look at Mines' travel policy.*) After the event, the department should submit an accounting of expenses to Academic Affairs for reimbursement.

## Visiting Committee Reports and Institutional Response

1. The Visiting Committee will send its report directly to the Provost with a copy sent to the Executive Assistant of the Provost, and that office will provide copies of it to the Dean, President, and the Department Head.
2. The Provost will direct the Dean and the Department Head to draft a response to the Visiting Committee report in a format approved by the Provost.
3. The Provost will work with the President to finalize the institutional response to the report.
4. The final version of the response is signed by the Provost and sent directly to each Committee member by the Provost's office. Copies are provided to the President, Dean, and Department Head.
5. The Committee's report and institutional response are shared with the Board of Trustees.

## Visiting Committee Information Packet

### Visiting Committee Information Packet Template (Word)

The Provost and President must approve the proposed agenda and any materials sent to the Committee prior to them being sent. The welcome letter, approved agenda, and supplementary materials should then be sent to committee members in the form of a Visiting Committee Information Packet for their review prior to the visit, and copied to the President and Provost, by the Department Head or Dean. These materials should be provided electronically to each committee member.

The format of the Visiting Committee Information Packet is provided below, and should be completed eight weeks in advance of the meeting and sent to the Dean and Provost for approval at least four weeks before the visit. The Dean and Provost will provide collective feedback to the Department Head and works with them to submit a final copy to the President at least two weeks and a half before the visit.

## Table of Contents

### Part 1: Introductory Material

- 1.1: Welcome Letter (Required, provided by department)
- 1.2: Critical Questions to be Considered (Required, provided by department in consultation and approval from Dean and Provost; example questions are provided at the end of this section)
- 1.3: Departmental Overview (Required, provided by Department, recommended organization provided below)

- 1.3.1: Introduction
- 1.3.2: Report Organization
- 1.3.3: History of Department
- 1.3.4: Department Today
- 1.3.5: Departmental Mission and Goals
- 1.3.6: Faculty Workload
- 1.3.7: Research
- 1.3.8: Departmental Finances

- 1.4: Visit Logistics (Required, provided by Department, recommended organization provided below)

- 1.4.1: Visit Schedule
- 1.4.2: Visiting Committee Membership and Contact List

## 1.4.3: Campus Map

**Part 2: Institutional Context (Provided by Academic Affairs 8 weeks in advance of meeting)**

2.1: Institutional Strategic Plan (Required): AA provides link to the President's Strategic Plan.

2.2: Institutional Data (Required): AA provides link to Institutional Research data visualization website.

**Part 3: Departmental Data (All sections provided by Department)**

3.1: Departmental Faculty (Required, recommended organization provided below)

3.1.1: Overview

3.1.2: Summary

3.1.3: CVs

3.2: Undergraduate Programs (Required, recommended organization provided below)

3.2.1: Overview

3.2.2: Undergraduate Program Administration

3.2.3: Trends, Strengths, Needs, Opportunities

3.3: Graduate Programs (Required, recommended organization provided below)

3.3.1: Overview

3.3.2: Graduate Program Administration

3.3.3: Trends, Strengths, Needs, Opportunities

3.4: Research Activities (Required, recommended organization provided below)

3.4.1: Overview and Areas of Expertise

3.4.2: Peer-reviewed Publications

3.4.3: Funding Sources

3.4.4: Research Center Activities

3.4.5: Research Expenditure Overview: Department, Faculty and Research Centers

3.5: Peer Department Analysis (Required, recommended organization provided below)

3.5.1: Section of Peer Departments

3.5.2: Faculty, Research, Students and Staff Comparisons

3.5.3: Summary

3.6: Facilities (Required)

**Sample Set of Questions for Item 1.2**

1. Overall, what are the department's strengths? (e.g., students, faculty, leadership, reputation, aspirations, organization, education, scope of research, impact on the field, etc.)?
2. Are there any areas in which the department is truly exemplary relative to similarly-named programs at other universities?
3. Overall, what are the key opportunities for improvement and investment, particularly with respect to student preparation/success, research impact, faculty development, and reputation?
4. Overall, what metrics should the department focus on when tracking their progress?

5. Do you see opportunities that are being missed and could be realized with the current college structure?
6. What opportunities are there for departmental undergraduate programs to be distinct and differentiated from those at other institutions?
7. What opportunities are there for departmental graduate programs to be distinct and differentiated from those at other institutions? What opportunities are there for the graduate programs to be more self sufficient financially?
8. Relative to other top programs, how does our instructional delivery compare?
9. Relative to other top programs, how does our external engagement compare?
10. Relative to top programs, how productive are the department programs in areas of education and research? How familiar and aligned are they with Mines' strategic plan?
11. Relative to top programs, how would you assess the engagement of departmental faculty and students in evolution of the programs?
12. What opportunities are there for departmental research programs to be distinct and more impactful? Do you consider the efforts to be largely isolated or collaborative?

Last Revision:

July 6, 2023

**7.5 Guidelines on Teaching Assignments****Governing Policies**

Section 6.1.2, Faculty Handbook – Teaching Assignment Guidelines  
Section 3.13, Procedures Manual – Course Chargeout and Buyout  
Section 4.5, Procedures Manual – Hiring Research and Affiliate Faculty, Guidelines for Joint Appointments and Interdisciplinary Programs

**PROCEDURE**

The three major categories of faculty productivity at Mines are teaching, scholarship, and service. A full workload can be expressed as a distribution of effort across these categories. Per the Faculty Handbook, the nominal expected distribution of effort for full-time faculty at Mines is:

- Tenure Track and Tenured: 40% Teaching, 40% Scholarship, 20% Service
- Teaching Track: 80% Teaching, 20% Service

Generally, faculty should use these percentages as a guide for normalized workload distribution. There are circumstances, however, in which different distributions are appropriate. These guidelines provide a framework for Department Heads to make teaching assignments that are equitable, transparent, and responsive to individual faculty productivity profiles while balancing overall workload across faculty. There is no current language in Handbook or Procedures specifying the distribution of effort for Professors of Practice at this time, so Department Heads should work with those faculty to determine an appropriate load.

Teaching assignments must be made according to institutional, departmental, and program curricular needs/priorities, as well as discipline-specific norms and expectations. Department Heads, in collaboration with Interdisciplinary Program Directors where their faculty are affiliated with these programs, have primary responsibility

for determining individual faculty workload assignments, including assembling the correct mix of courses to meet these needs and priorities (noting that some Interdisciplinary Programs have course headers and teaching needs independent of departments). In determining individual faculty teaching assignments, Department Heads must exercise professional judgment in establishing minimum course-enrollment criteria given competing goals, which may include but are not limited to: pedagogical differences in the structure and delivery of course material, historical and projected enrollments in course offerings, and whether the course is typically enrolled by graduate or undergraduate students. Department Heads will communicate their approach to teaching assignments to their respective portfolio Dean on a regular basis. The teaching assignments in a Department and/or Program are expected to be in general agreement with their Dean's thoughts and vision for the Portfolio.

These guidelines are intended to help Department Heads:

1. Ensure that students receive high-quality instruction;
2. Facilitate the productivity of faculty members with highly active research programs and/or exceptional service responsibilities through appropriate adjustments to teaching loads;
3. Rebalance the workload of tenure-line faculty members whose research productivity or service contributions are not consistent with the distribution outlined above; and
4. Personalize the workload of each faculty member in accordance with items 1-3.

## Standard Teaching Load

Per Faculty Handbook Section 6.1.2, the teaching expectation for all full-time faculty on campus is 12 credit hours per semester, with a standard 3-credit hour release per semester for service and another 3-credit hour release for scholarship among tenured and tenure-track faculty. Additionally, the Handbook indicates that no faculty member shall teach less than 3 credit hours per semester unless approved by the Department Head, Dean and Provost. Teaching load calculations exclude semesters in which a faculty member is on sabbatical, research leave, parental leave, unpaid leave, or similar. Faculty with less than a 1.0 FTE appointment will be expected to teach a proportionate share of the course load.

Given these allowances, according to the Handbook, the nominal loading for faculty is as follows:

- Teaching faculty without service: 12 credit hours per semester
- Teaching faculty with full service: 9 credit hours per semester
- Tenured or tenure-track faculty with full service and scholarship: 6 credit hours per semester

While the 3-credit hour course releases for service and scholarship have been granted historically based on a faculty member's position (i.e., teaching faculty or tenure-line faculty), these releases are intended to be allocated based on minimum requisite productivity. Department Heads may consider various scholarship productivity factors when determining whether to adjust a faculty member's teaching load, such as: producing scholarly publications, peer-reviewed activity recognized by the discipline, obtaining grants, engaging in entrepreneurship or commercialization, supervising graduate students, serving on graduate committees, and supervising undergraduate research opportunities. Service is required for promotion on both tracks, and should be considered carefully as part of a faculty member's load. Department Heads are responsible to ensure each faculty member contributes adequately to the university's mission,

and should rebalance teaching loads as necessary to ensure fairness among the faculty.

## Teaching Load Balancing

All full-time faculty members are expected to teach a fair assignment of course credit hours annually as determined by the Department Head and, where appropriate, Interdisciplinary Program Directors. Faculty should not teach, on average, significantly less than others in the department without justification and permission of the Department Head. According to the Handbook, "Many combinations of courses, labs, senior design sections, special problems, and load rearrangements can be used to meet the teaching assignment guidelines." For non-standard instructional loading, Department Heads will determine the combination of instructional responsibilities constituting a "course equivalent" or otherwise achieving the desired total teaching load per academic year. Justification will be provided to the appropriate Dean and any member of the Department/Program faculty as needed.

Three course types will typically be subject to overall load balancing by the Department Head: independent-study courses, under-enrolled courses, and large lecture classes.

- Independent-study courses generally do not count toward an instructor's teaching load unless the Department Head assigns those courses to the faculty member, or an exception is approved by the portfolio Dean. Even where required or approved, independent study courses may not constitute a full 3-credit-hour course equivalent as determined and documented by the Department Head and/or Program Director.
- Under-enrolled courses should be offered infrequently, typically only when required for program delivery. Under-enrolled courses are generally considered to be those with fewer than 15 students for undergraduate courses and fewer than 10 students for graduate courses. Under-enrolled courses based on these numbers require Department Head/Program Director and Dean approval to be offered, and even when they are approved, they may not count as a full 3-credit-hour course equivalent as determined by the Department Head in conversation with an Interdisciplinary Program Director, if needed. If a course is cancelled, the Department Head should derive an alternative teaching assignment for the faculty member. Faculty should not be compelled to teach an under-enrolled course that does not count as a full course equivalent.
- All lecture classes involve instructor-student contact outside of lecture, e.g., during office hours etc. These contacts are intrinsic to an effective academic environment and foster student achievement and should be encouraged. A reasonable number of office hours should be provided by faculty teaching lecture courses, as noted in Handbook Section 6.1. Large lecture classes may involve a greater need for instructor-student contact out of class, which should be considered when determining faculty workload.

## Teaching Load Reductions

Per Procedures Manual section 3.13, tenured and tenure-line faculty may use external funding to chargeout of a 3-credit hour course equivalent, presuming they do not go below the minimum required 3-credit-hour course load per semester. The required funds for the "chargeout" is 12.5% of the faculty member's academic salary per 3-credit course.

Additionally, Department Heads may grant teaching release time ("course equivalents") to individual faculty members who are new/transitional or

who engage in high-impact instructional, scholarship, or service activities, such as:

- **New faculty:** Newly hired faculty, especially those on the tenure line who need to get their research program started, can be provided with an initially reduced teaching load for up to their first two years.
- **Research productivity:** Tenure-line faculty with substantial research productivity are eligible for course release. Adequate research productivity is determined by the Department Head and/or Program Director according to program, department, and institutional expectations for publication, sponsored research, and graduate-student/post-doctoral scholar advising.
- **High-commitment courses:** A limited number of courses across campus demand exceptional instructional or administrative commitment because of high enrollment, extensive coordination responsibilities, or unique assessment requirements that cannot be offset by TAs or other support staff. Department Heads and/or Program Directors may recommend to their Dean instructional credit-hour equivalent releases associated with these types of course responsibilities. Equivalent credit-hour adjustments may also be made for misalignments between allocated credit hours and contact hours, such as with some labs, field-based courses, and studio courses.
- **Extensive academic advising:** A certain amount of advising is expected as part of every faculty member's instructional responsibility. Answering student questions, listening to their concerns, and helping them with their course schedules, degree plans, and other needs are complements to classroom instruction and, thus, part of the ordinary academic workload. However, in some departments and/or programs, student advising is concentrated among a small number of faculty, which Department Heads and/or Program Directors may determine qualifies for instructional release.
- **Academic administration:** Department Heads may provide a course "buyout" and release a faculty member from a course assignment to assign them administrative responsibilities in the department (e.g., course coordination, Associate Department Heads, Directors of Interdisciplinary Programs or Centers, coordinators of major institutional initiatives, etc.). The work assignment must be defensible as something that clearly supports the mission of the university, and that justifies faculty-level oversight. Where necessary, the administrative buyout is expected to cover the cost of hiring an adjunct to deliver the course that the faculty member would have been assigned.

The criteria for and release time established for any teaching release granted for the above reasons should be available to the Dean and appropriate faculty upon request.

## Teaching Load Increases

Faculty who consistently underperform in any component of their allocated responsibilities are subject to rebalancing of their allocated responsibilities as determined by their Department Head in conjunction with Interdisciplinary Program Directors, as described above. Tenure-line faculty whose scholarship productivity falls below expectations may be allocated additional teaching or service responsibilities. Similarly, if tenure-line or teaching faculty have limited-service contributions, they may be redirected to additional teaching. In short, all faculty members are expected to contribute equally (but not identically) to the Mines mission, and Department Heads are tasked with ensuring fair distribution of teaching, service, and research. Department Heads will communicate

with faculty the rationale for teaching adjustments according to these expectations.

A Performance Improvement Plan, as described in Section 7.3 of the Faculty Handbook, is recommended before significant rebalancing of faculty responsibilities. This remediation plan should include reasonable productivity expectations, including metrics where possible, and a clear timeline for achieving them.

Last Revision:

July 6, 2023

## Section 8 - Faculty Awards and Emeritus Status

- 8.1 Faculty Awards (p. 52)
- 8.2 Mines Teaching Award (Teaching Faculty) (p. 53)
- 8.3 Mines Teaching Award (Tenured or Tenure Track) (p. 53)
- 8.4 Board of Trustees' Outstanding Faculty Award (p. 53)
- 8.5 Alfred E. Jenni Faculty Fellowship (p. 54)
- 8.6 Faculty Excellence Award (p. 54)
- 8.7 W.M. Keck Mentorship Awards (p. 55)
- 8.8 Excellence in Research Awards (Junior & Senior Faculty) (p. 55)
- 8.9 Nominating Faculty for Emeritus Title (p. 56)

### 8.1 Faculty Awards

Each Fall, the Office of Academic Affairs will solicit nominations for the following faculty awards:

- Mines Teaching Award (Teaching Faculty)
- Mines Teaching Award (Tenured or Tenured Track Faculty)
- Board of Trustees' Outstanding Faculty Award
- Alfred E. Jenni Faculty Fellowship
- Faculty Excellence Award
- W.M Keck Mentorship Awards
- Excellence in Research Awards (Junior and Senior Faculty)

Details of the requirements for nominations are provided in the following sections for each specific award.

Nominations are sent directly to the Faculty Awards Committee except the Excellence in Research Awards, which are organized by Research Council and the Faculty Senate. For all awards but those two, the Faculty Awards Committee shall review the dossiers and make a decision. With the exception of the Board of Trustees' Outstanding Faculty Award, all recipients of the awards listed here are announced at the April Awards Celebration. For the Board of Trustees' Outstanding Faculty Award, the Committee recommends a prioritized slate of recipients to the Board of Trustees, and the recipient is announced at the December Commencement ceremony.

The Faculty Awards Committee shall consist of the Vice Provost (Chair – *ex officio* non-voting), the Director for the Trefny Innovative Instruction Center (*ex officio* voting), the past recipients of faculty awards, an undergraduate student representative, and a graduate student representative.

For all awards, a short-form CV with relevant information and a letter of nomination are required, submitted as a single pdf. Details on formatting and other requirements are provided under each award section.

Last Revision:

June 29, 2023

## 8.2 Mines Teaching Award (Teaching Faculty)

The purpose of the award is to recognize superior teaching at the **undergraduate** level over a period of several years and to provide encouragement and incentive for teaching achievement. Any teaching faculty member with significant experience teaching at the undergraduate level at Mines shall be eligible for nomination.

Nominations should be created with input from faculty members, students, alumni and others who are knowledgeable of the Mines' community and the criteria for the award. Nomination letters should be no more than two pages in length, and must include the following components:

1. A statement introducing the nominee and touching upon the nominee's overall merits,
2. a statement of teaching and pedagogical activities, innovations, excellence and recognitions,
3. a table of courses taught by the nominee over the past three years.

The recommended format for the table referred to in item three above is provided below.

### Academic Year: XXXX

Course Number	Percent Effort for Course	Course Title and Hours	Average Teaching Evaluation Score	Number of Students	Comments on Course Development and Innovations, Student Assessment, etc.
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Besides the materials above, all nomination materials must also include:

- A short-form CV is required for the nominee (five pages or less) focusing on appropriate materials,
- Department Head evaluations for the previous three years,
- letters of support from colleagues and students, and
- any other supplemental materials deemed relevant.

The file should be submitted as a single pdf and be less than 20 pages total.

Each award consists of a plaque and \$2,500 deposited into a faculty member's professional development account.

Last Revision:

June 29, 2023

## 8.3 Mines Teaching Award (Tenured or Tenure Track)

The purpose of the award is to recognize superior classroom instruction at either the **undergraduate** and/or **graduate** levels over a period of several years and to provide encouragement and incentive for classroom teaching achievement. Any tenured or tenured-track faculty member with significant experience teaching at Mines shall be eligible for nomination.

Nominations should be created with input from faculty members, students, alumni and others who are knowledgeable of the Mines' community and the criteria for the award. Nomination letters should be no more than two pages in length, and must include the following components:

1. A statement introducing the nominee and touching upon the nominee's overall merits,
2. a statement of teaching and pedagogical activities, innovations, excellence and recognitions,
3. a table of courses taught by the nominee over the past three years.

The recommended format for the table referred to in item three above is provided below.

### ACADEMIC YEAR: XXXX

Course Number	Percent Effort for Course	Course Title and Hours	Average Teaching Evaluation Score	Number of Students	Comments on Course Development and Innovations, Student Assessment, etc.
---------------	---------------------------	------------------------	-----------------------------------	--------------------	--

Besides the materials above, all nomination materials must also include:

- A short-form CV is required for the nominee (five pages or less) focusing on appropriate materials,
- Department Head evaluations for the previous three years,
- letters of support from colleagues and students, and
- any other supplemental materials deemed relevant.

The file should be submitted as a single pdf and be less than 20 pages total.

Each award consists of a plaque and \$2,500 deposited into a faculty member's professional development account.

Last Revision:

June 29, 2023

## 8.4 Board of Trustees' Outstanding Faculty Award

The purpose of the award is to recognize a faculty member who has made a significant positive impact on student learning, with **special emphasis on teaching outside the classroom and/or undergraduate research**. Any faculty member as defined in the Handbook who has

been with Mines for a minimum of three years is eligible for nomination. The Awards Committee will consider the following factors:

- Creative achievement, which contributes significantly to the breadth of the students' classroom learning experience, for example: across-the-curriculum teaching, teaching in multiple departments, or active learning applications.
- Significant achievement made outside the classroom environment such as mentoring or other forms of student communication and encouragement and the active fostering of a learning community.
- Developing and implementing practices that align with the state-of-art in higher education.

Nomination letters should be no more than two pages in length, and must include the following components:

1. A statement introducing the nominee and touching upon the nominee's overall merits,
2. a statement defining the significant creative achievements the candidate has made that contribute directly to the *breadth of student classroom learning*,
3. a statement of activities related to achievements made in **teaching outside the classroom**, and
4. a statement defining the practices that candidate has developed and implemented that *align with the state-of-art in higher education*.

Besides the materials above, all nomination materials must also include:

- A short-form CV is required for the nominee (five pages or less) focusing on appropriate materials,
- Department Head evaluations for the previous three years,
- letters of support from colleagues and students, and
- any other supplemental materials deemed relevant.

The file should be submitted as a single pdf and be less than 20 pages total.

*This award is not intended to be given each year.*

The award consists of a plaque, \$2,000 deposited into a faculty member's professional development account, and travel support to national engineering education conference for \$1,000.

Last Revision:

June 29, 2023

## 8.5 Alfred E. Jenni Faculty Fellowship

The Alfred E. Jenni Faculty Fellowship will be awarded to a Colorado School of Mines faculty member, as defined in the Faculty Handbook, who will make ***institution-wide contributions in teaching effectiveness and educational scholarship during the one-year period of the award***. The recipient will have meritorious experience in educational program development and will have a vision of how that experience can be brought to bear in institution-wide enhancements in education.

The following factors will be considered in selecting the Alfred E. Jenni Faculty Fellow:

- A track record of scholarship in educational research and development pertinent to the mission of the School;
- A reputation among students for strong dedication and concern toward their learning; and
- A vision of how, as the Alfred E. Jenni Faculty Fellow, the individual will contribute to institution-wide enhancements in education, and how this vision can be translated into viable actions.

Nomination letters should be no more than two pages in length, and must include the following components:

1. A statement introducing the nominee and touching upon the nominee's overall merits,
2. a statement providing selected evidence of a track record in educational research and development, and
3. a statement providing a brief overview of how the individual plans to contribute to institution-wide enhancements in teaching effectiveness and educational scholarship.

Besides the materials above, all nomination materials must also include:

- A short-form CV is required for the nominee (five pages or less) focusing on appropriate materials,
- Department Head evaluations for the previous three years,
- letters of support from colleagues and students that indicate a strong dedication and concern toward learning, and
- a detailed project plan (five pages maximum) provided by the candidate that includes project description, milestones and deliverables.

The file should be submitted as a single pdf and be less than 25 pages total.

If awarded, the period of the Fellowship will extend from the beginning of the Fall semester to the end of the next Summer. During that period the Faculty Fellow will be expected to contribute in a variety of ways, including, for example, interact with the Trefny Innovative Instruction Center, participate in the New Faculty Orientation, interact with faculty who are launching new teaching initiatives or who are seeking advice, or interact with the campus at-large in curriculum and pedagogical development. The Faculty Fellow will demonstrate a scholarly approach to this effort, leading to publication in appropriate educational literature.

The Alfred E. Jenni Faculty Fellow will receive a compensation award of one ninth of the base salary, payable either within the Academic Year or during the Summer of the one-year period of the Fellowship. This will not contribute to the base for the purpose of computing summer salary and is not intended to provide release from regular academic duties.

Last Revision:

June 29, 2023

## 8.6 Faculty Excellence Award

The purpose of the award is to recognize a full-time tenured or tenure-track Colorado School of Mines academic faculty member who has ***demonstrated, during the immediately preceding calendar years, significant and meritorious achievement in teaching and scholarship***. The following factors will be considered:

## Teaching

1. Unusual achievement that contributes significantly to the quality of the students' *classroom learning experience*.
2. Application of high standards for both the rigor and currency of course content and for the level of student performance with respect to these standards.

## Scholarship

1. Publication of high-quality, original scholarly works in nationally recognized and externally refereed professional journals.
2. The potential significance of these contributions to the enhancement of the effectiveness of subject content in the classroom.

Nomination letters should be no more than two pages in length, and must include the following components:

1. A statement introducing the nominee and touching upon the nominee's overall merits,
2. a statement highlighting significant achievement in teaching by the criteria defined above, and
3. a statement highlighting significant achievement in scholarship by the criteria defined above.

Besides the materials above, all nomination materials must also include:

- A short-form CV is required for the nominee (five pages or less) focusing on appropriate materials,
- Department Head evaluations for the previous three years,
- letters of support from colleagues and students, and
- any other supplemental materials deemed relevant.

The file should be submitted as a single pdf and be less than 20 pages total.

The award consists of a plaque and \$4,000 deposited into a faculty member's professional development account.

Last Revision:

June 29, 2023

## 8.7 W.M. Keck Mentorship Awards

In connection with the W. M. Keck Chair for Professional Development Education and the Faculty Senate, the Office of Academic Affairs seeks to support and encourage the development and adoption of novel and effective mentorship strategies across campus.

Three Mentorship Awards have been established to recognize extraordinary mentorship activities that go above and beyond regular advising. Three awards will be issued; one for mentoring undergraduate students, one for mentoring graduate students, and one for mentoring faculty or staff members. Successful candidates may have developed new mentoring initiatives, assisted those that face significant challenges or are vulnerable, or created new pathways for growth and empowerment. Any faculty or staff member is eligible for consideration.

The recipient will receive a plaque and a monetary award of \$1,500 that goes into their professional development account. The award winners will be recognized as part of the April Faculty Awards ceremony.

The nomination should include the following information and be no more than two pages in length:

1. the name and position of the faculty or staff member who is nominated
2. the award for which the nomination is made (undergraduate, graduate, faculty, or staff mentoring)
3. the reasons why the nominee merits the award based on the award description above
4. one paragraph to be used for the Mines' website, summarizing the mentoring achievements of the nominee

A selection committee will review nominations and make award recommendations to the W. M. Keck Chair for Professional Development Education.

Last Revision:

July 21, 2022

## 8.8 Excellence in Research Awards (Junior & Senior Faculty)

The "Excellence in Research Awards" were established to recognize Mines' research active faculty members in all disciplines for their outstanding research accomplishments while at Mines. Two awards are presented each academic year, one for a junior faculty member and one for a senior faculty member. Both Tenured/Tenure Track and Research Faculty members will be considered; for the junior award, at the Assistant or Associate levels and for the senior award, at the Assistant, Associate or Full Professor levels.

The Junior Award is for a faculty member with less than 10 years of self-directed (after Ph.D. and postdoctoral training) research time at Mines or another university or research institution. The Senior Award is for a faculty member with 10 or more years of self-directed research. Note that awards are given for research conducted at Mines. Each award will consist of a plaque and a grant of \$5,000 for their professional development account to further research initiatives. The awards are jointly sponsored by the offices of the Provost and the Vice President for Research and Technology Transfer.

The Mines Research Council will make the selection on the basis of the significance and quality of research and creative achievements. These include:

1. Establishment of a thriving research program evidence for which might include a strong publication record, invited conference presentations, national and international awards, and support of graduate and undergraduate research
2. Outstanding research accomplishments that have received national and/or international recognition
3. Enhancing the reputation of Mines through their research
4. Supporting research across campus via intra- and interdepartmental collaborations

A Mines faculty member or a Mines department or program can nominate candidates for the award in both categories by sending a letter to Mines' Research Council chair summarizing in layperson's terms the nominee's research accomplishments while at Mines and the nominee's curriculum vitae. *With the exception of the candidate CV, nomination letters should*



*be no more than two pages in length.* The council will select up to six candidates, for whom external letters of recommendation will be sought. For the selected candidates, the faculty member making the nomination will be asked to solicit external letters from three nationally and internationally recognized experts familiar with the nominee's research work. Up to two award recipients will be selected from the short-list by the Research Council and their names will be forwarded to the Faculty Senate for approval. The awards will be presented at the April Faculty Awards Ceremony.

Last Revision:

July 21, 2022

## 8.9 Nominating Faculty for Emeritus Title

### Governing Policies

Section 4.1.5, Faculty Handbook – Emeritus Faculty Appointments

### Procedure

Section 4.1.5 of the Faculty Handbook describes emeritus faculty appointments. In Spring, the Office of Academic Affairs will solicit nominations for emeritus status from Department Heads. Department Heads should work in consultation with their departmental promotion and tenure committee to nominate retired, tenured or teaching faculty members who have served full-time at Mines for 10 years or more.

Department Heads should submit a formal memorandum of nomination to the Provost. The memo should include the date of retirement, the requested emeritus title (e.g., Emeritus Associate Professor of Geophysics), and a short, one-paragraph memo that includes, but is not limited to, the following information:

- Dates of degrees and degree-granting universities
- Date joined Mines
- Positions held at Mines and dates of promotion
- Research interests
- Notable distinctions

The Provost and President will consider nominations and submit their recommendation regarding the emeritus appointment to the Board of Trustees for a final decision.

Faculty receiving *Emeritus* titles are recognized during the April Awards Celebration.

Last Revision:

October 23, 2019

## Section 9 - Academic Affairs Travel Policies

- 9.1 International Travel Student Policy (p. 56)

## 9.1 International Travel Student Policy

### Background

The Colorado School of Mines strives to be an institution with global reach as well as one that brings global perspectives to its core activities in teaching, research, and service. As such, it is well understood that it is desirable to encourage and facilitate student travel abroad. While all travel entails some degree of risk, travel to some locations, and activities associated with this travel, may involve more risk than others.

This policy applies to student education abroad activities sponsored or organized by any department or organization at Mines, including group travel organized by departments, programs organized by student organizations, and individual student travel.

### Definitions

*Student(s)*: includes any individual who has been officially admitted into Mines, and is a currently enrolled (e.g., not on a leave of absence, suspended, alumni, etc.) in an active degree program.

*Faculty Sponsor(s)*: is any Mines employee (e.g., academic faculty, administrative faculty, research faculty, adjunct faculty) having primary responsibility in promoting, organizing, leading, or conducting a sponsored activity as defined below. Faculty sponsors, in the case of group sponsored activities, may accompany students abroad. But, as will often be the case for individual sponsored activities, faculty sponsors may remain resident at Mines while students undergo their travel abroad.

*Non-Sponsored Activities (group or individual) include:*

- Travel that has no connection to Mines or its educational, research, and services activities. Examples include personal travel (vacation), mission/service trips that are unaffiliated with a Mines organization, and any other travel not described in the definition of Sponsored Activities.
- Travel that is organized by an entity other than Mines, even when participants are recruited through Mines student organizations or other on-campus marketing efforts, as long as Mines has no role in overseeing, awarding credit, or funding the travel.

*Sponsored Activities (group or individual) include:*

- All credit-bearing or degree-advancing international travel (e.g., study abroad, exchange programs, thesis research, approved individual study activities such as conference attendance, internships, or faculty-led programs);
- Travel organized on behalf of a registered student organization or athletic team;
- Activities funded in whole or in part by Mines (e.g., funds held or disbursed through student organization agency funds, fellowships, grants, including research grants and contracts, Foundation funds, and research assistantships).

Student organization agency funds affected by this policy include, but are not limited to, money donated to Mines that is raised by student organizations through fundraisers and contributions from other Mines entities, such as student organizations, colleges and academic departments, or administrative offices.

## Scope

This policy applies to students and faculty sponsors who are taking part in a sponsored activity as defined above. Non-sponsored activities (as defined above) are not included in the scope of this policy, and Mines assumes no responsibility for such non-sponsored activities.

In some instances, travel abroad may contain both *sponsored* and *non-sponsored* components. In these cases, the portion of the travel deemed sponsored must comply with the policies set forth below.

Under no circumstances will activities conducted, or outcomes obtained as part of a non-sponsored activity be considered after-the-fact as a *sponsored* event. This includes, but is not limited to, any potential liability associated with the activity or to the awarding of any academic credit for outcomes achieved during the activity.

## Oversight Authority for Ensuring Policy Compliance

The Director of Education Abroad within the Office of Global Education (OGE) has primary responsibility for approving sponsored activities and ensuring policy compliance for these activities. Processes, procedures and documentation required for obtaining approval for international travel involving students are available on OGE's website as linked above.

## Risk to Health and Safety

Students or sponsors intending to travel to a destination for which the State Department has issued any level of warning should discuss this warning with the Education Abroad Director as soon as possible. Education Abroad will not approve any sponsored activities in a location for which the US State Department has issued a Level 3 or 4 Advisory, or where other extraordinary conditions are present that may pose serious risks to health or safety. In considering whether to approve any sponsored activities in locations for which the State Department has issued any level of warning or where other extraordinary conditions are present, the Education Abroad Director will take into consideration

- The nature of the Travel Advisory, Travel Health Warning, or extraordinary conditions;
- The feasibility of postponing the Program until the Advisory or Warning is lifted, or the extraordinary conditions resolve;
- The feasibility of moving the Program to an alternate destination;
- The experience and training of Program organizers and any local support staff;
- How the Program can minimize risk to Participants;
- Any other factors that may be relevant to the proposed sponsored activity.

## Modified or Canceled programs

If an Elevated Travel Advisory covering program dates and destinations is issued:

- **After departure:** the program Leader shall provide the Elevated Travel Advisory promptly to all Participants and give them an opportunity to withdraw, unless Mines otherwise mandates the withdrawal of all participants.
- **Before departure:** if no exemption is granted, the program shall be modified or cancelled. If the program is modified and exempted, all

participants shall be notified and given an opportunity to withdraw/leave.

The Provost has the institutional authority to determine whether to grant an exemption. Mines reserves the right to end its sponsorship of student travel based on US State Department advice, or advice of Mines General Counsel at any time, and reserves the right to require the student(s) to end the trip and leave the country. Such determinations will be made on a case-by-case basis. During and before their travel abroad, students and faculty sponsors should monitor the State Department web site for up-to-date information about changing conditions

## Participant Requirements

Participants must:

- Attend all mandatory Program orientation sessions required by the Program Leader;
- Register their participation in the Program with the OGE and pay any applicable program fees;
- Complete the "Acknowledgment of Risk" and "Conditions of Participation" forms as part of Education Abroad registration, and other travel waivers as applicable.
- All Participants are encouraged (and may be required by their Program Leaders) to make an appointment with their health care provider before departure for a travel health evaluation and consideration of required and recommended immunizations;
- Obtain OGE prescribed health and accident insurance (including medical evacuation and repatriation of remains) or equivalent that covers all Program dates, including travel days from and back to the U.S. Personal travel insurance, and/or national insurance required by their host country, will not substitute for this requirement.
- Comply with any additional requirements set by the Program Leader. Non-compliance may result in failure of the course, expulsion from Mines, or immediate return home at the Participant's expense and at the discretion of the Program Leader.

## Independent Student Traveler

Mines recognizes and values the academic freedom of its students engaging in individual research, service learning, and other activities abroad that fulfill educational requirements or are organized by a Mines chartered student organization. For purposes of this policy and individual student travel, the faculty advisor or OGE will be considered the individual student's Program Leader. In order to protect their health and safety while abroad, individual students must

- register their travel on the Global Education website and pay any applicable fees;
- obtain OGE prescribed health and accident insurance (including medical evacuation and repatriation of remains) or equivalent that covers all travel dates. Personal travel insurance, and/or national insurance required by their host country, will not substitute for this requirement.
- to the extent possible, stay current on any pertinent Elevated Travel Advisory before and during travel.
- register with the U.S. Department of State (DOS) Smart Traveler Enrollment Program (STEP) before departure. STEP is a free service for U.S. citizens that enables the DOS to provide travel updates and information and to assist in an emergency.

The Director of Education Abroad has primary responsibility for approving independent student travel and ensuring policy compliance for these activities.

## Extended Travel Before or After Program Dates

Mines strongly recommends that Program Leaders and Participants who travel independently before or after Program dates (1) purchase supplemental health and accident insurance coverage, including medical evacuation and repatriation of remains, to cover the full duration of their independent travel given the unpredictable, random, and potentially catastrophic cost of illness and accidents weighed against the relatively minor costs and major benefits of such insurance, and (2) register their independent travel in the Smart Traveler Enrollment Program.

## Required Clery Act Reporting

Certain crimes that occur within Mines' geography must be disclosed in the Colorado School of Mines Annual Security Report and to the Department of Education. These crimes include criminal homicide (murder and non-negligent manslaughter, manslaughter by negligence), robbery, aggravated assault, burglary, motor vehicle theft, arson, hate crimes (including any of the aforementioned crimes, as well as larceny-theft, simple assault, and intimidation), domestic violence, dating violence, stalking, sexual assault (rape, fondling, incest and statutory rape), and arrests and referrals for disciplinary action for weapons law, drug abuse and liquor law violations.

Sponsored trips by Mines for students extending more than one night need to be recorded via this online form. Locations students use during the trip, such as overnight accommodations and rented or leased classroom space, are controlled by Mines under the Clery Act and need to be treated as non-campus property for Clery Act reporting purposes.

Thus, crimes occurring in these locations need to be reported. For example, if Mines has entered into a written agreement with a third-party contractor to arrange housing and/or classroom space for a school-sponsored trip or study away program (either domestic or foreign), it is assumed that the contractor is operating on behalf of Mines as the school's agent, putting Mines in control of this space. When Mines sends students to study at a location or facility (either domestically or foreign) that Mines does not own or control, Mines does not have to report statistics for crimes that occur in those facilities.

Leaders of Programs that occur within Mines' Clery geography are considered Campus Security Authorities (CSAs) under the Clery Act. As CSAs, these Program Leaders must report crimes that occur in their programs abroad to the Mines Clery Compliance Officer so they can be disclosed in the Colorado School of Mines Annual Security Report and to the Department of Education. The form to report crimes can be found at [this link](#).

## Exemptions

Any exceptions to this policy must be approved by the Provost in advance and in writing. Violations of this policy may lead to cancellation of a Program.

Last Revision:

July 25, 2022

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