PROCEDURES MANUAL
OFFICE OF THE PROVOST AND ACADEMIC AFFAIRS

TABLE OF CONTENTS

SECTION 1: INTRODUCTION
1.1 Purpose of Academic Affairs Procedures Manual
1.2 Procedures Manual Modification Process
1.3 Additional Resources for CSM Procedures and Policies
1.4 Overview of the Office of the Provost and Academic Affairs

SECTION 2: GENERAL ADMINISTRATIVE PROCEDURES
2.1 Annual Calendar of Deadlines/Due Dates for Academic Procedures
2.2 Department and Administrative Office Hours, Faculty Office Hours, Communication Requirements and Staff Meetings
2.3 Alcohol at CSM Functions
2.4 Federal, State and Local Government Relations Procedures

SECTION 3: GENERAL PROCEDURES FOR FACULTY
3.1 Employment Contract Period and Pay Calculations for Tenure, Tenure-Track and Teaching Faculty
3.2 Requests to Engage in Additional Professional Work
3.3 Funds for Which Faculty Members Have Responsibility and Accountability
3.4 Instructional Use of Graduate Students
3.5 Hiring Undergraduate Students
3.6 Summer Program Guidelines
3.7 Retirements and Leaves of Absence
3.8 Office Space for Transitional and Emeritus Faculty
3.9 Sabbatical Requests
3.10 Instructional Development Assignments
3.11 Business Card Protocol
3.12 Gift Ban

SECTION 4: FACULTY HIRING AND TERMINATION
4.1 Requirements for Conducting Formal Faculty Searches
4.2 Hiring Process for Academic Faculty
4.3 Visa and Immigration Protocol for Appointing Foreign Tenured or Tenure Track Faculty
4.4 Required Documentation for New CSM Faculty
4.5 Faculty Appointments for Graduate Students
4.6 Guidelines for Appointing Faculty to a Position with no Remuneration
4.7 Guidelines for Hiring Adjunct Faculty
4.8 Terminating Salary Contracts and Separation of Employees from CSM

SECTION 5: FACULTY EVALUATION
5.1 Faculty Evaluation Procedure Summary
5.2 Suggested Criteria to be Considered for Faculty Evaluations
5.3 Department Head Evaluation Procedure Summary
5.4 Department Head Responsibilities
5.5 Course Evaluations
5.6 Professional Growth Plans for Tenure-Track Faculty

SECTION 6: PROMOTION AND TENURE
6.1 Promotion/Tenure Timetable and Procedures
6.2 Guidelines for Submission of Promotion/Tenure Material
6.3 Guidelines for Selecting and Requesting External Evaluation Letters
6.4 Preliminary Tenure Reviews for Tenure-Track Faculty
6.5 Demonstration of Attainment of Promotion and/or Tenure Criteria, and Institutional Guidelines for Reviewers
6.6 Demonstration of Attainment of Promotion Criteria for Library Faculty

SECTION 7: ACADEMIC PROCEDURES
7.1 Final Examination Scheduling and Dead Week/Day Policies
7.2 Common Examination Policy
7.3 Examination Proctoring for Student Athletes
7.4 Employee Tuition Waivers
7.5 Guidelines for Visiting Committees

SECTION 8: FACULTY AWARDS AND EMERITUS STATUS
8.1 Faculty Awards
8.2 Mines Teaching Award (Teaching Faculty)
8.3 Mines Teaching Award (Tenured or Tenure-Track Faculty)
8.4 Board of Trustees' Outstanding Faculty Award
8.5 Alfred E. Jenni Faculty Fellowship
8.6 Faculty Excellence Award
8.7 Nominating Faculty for Emeritus Title

SECTION 9: UNIVERSITY SERVICE: FACULTY CONFERENCE, COMMENCEMENT AND CONVOCATION
9.1 Requirement to Participate
9.2 Commencement Exercises
9.3 Absences from Commencement and Faculty Conference

SECTION 10: ACADEMIC AFFAIRS TRAVEL POLICIES
10.1 General Travel Information
10.2 Petroleum Institute Semester Policy and Guidelines for Faculty
10.3 International Travel Student Policy

PROCEDURES MANUAL
2019
SUMMARY OF CHANGES

DELETIONS

- None

ADDITIONS

- 3.10 Added Procedure for faculty to request Instructional Development Assignements

SUBSTANTIVE MODIFICATIONS

- None

Last Revision:

August 14, 2019

SECTION 1
INTRODUCTION

1.1 PURPOSE OF ACADEMIC AFFAIRS PROCEDURES MANUAL

This Colorado School of Mines Procedures Manual for the Office of Academic Affairs is published and maintained by the staff of the Provost. This Manual is not a repository of official Colorado School of Mines policies. Instead, it is largely 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. As such, the Office of Academic Affairs welcomes constructive feedback on procedural improvements that facilitate interactions among the academic units of the Colorado School of Mines and its administration.

A current copy of the Manual is maintained electronically on the Academic Policies website at

http://inside.mines.edu/POGO-Academic

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:

January 8, 2008

1.2 PROCEDURES MANUAL MODIFICATION PROCESS

While the Academic Affairs 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, 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 term, the Associate Provost shall review the existing Procedures Manual to:
    - ensure compliance with revised Handbook language,
    - ensure currency of content (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.

- All revisions developed over the Summer term shall be posted for a 30-day public comment period at the beginning of the Fall semester.

- In addition, as Chair of the Faculty Handbook Committee, the Associate Provost will review proposed changes with the Handbook Committee and request Handbook Committee feedback at the first meeting of the Committee.

- The Associate Provost shall review feedback provided by the community and the Handbook Committee with the Provost and, in response to this input, modify proposed Manual language as directed by the Provost.

- Campus shall be notified, and the final Procedures Manual posted by October 1 of each academic year.

Last Revision:

July 3, 2014

1.3 ADDITIONAL RESOURCES FOR CSM POLICIES AND PROCEDURES

CSM Faculty Handbook:

The Board of Trustees is the legal employer of all employees at the Colorado School of Mines (CSM). The Board, which defines all exempt CSM employees as faculty, sets forth the general terms and conditions of faculty employment in the CSM Faculty Handbook, and especially within Part II of that Handbook. The most current version of the Faculty Handbook is maintained on the Academic Policies web site at https://inside.mines.edu/POGO-Academic.

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 one of two venues:

- Section 10 of the Faculty Handbook (https://inside.mines.edu/POGO-Academic), and
- On the Board Policies Website (http://inside.mines.edu/POGO-Board-of-Trustees_1)

Undergraduate and Graduate Bulletins

These contain a variety of policies relevant to academic programs, registration and student life. The Bulletins are updated annually. These may be accessed at http://inside.mines.edu/Bulletins.

Travel Policies and Procedures

These are anchored at the site

https://inside.mines.edu/Accounts_Payable-Travel

Human Resources

A variety of human resources related items are anchored at following sites:

- Employee Benefits (https://inside.mines.edu/Employee_Benefits)
- New Employee Information (https://inside.mines.edu/New_Employee_Information)
- Complaint Hotline (https://secure.ethicspoint.com/domain/media/en/gui/33377/index.html)

Environmental Health and Safety

A variety of EHS related items such as:

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

are anchored at the site

http://inside.mines.edu/EHSHome

Facilities Management Services

A variety of Facility Management Services related items such as:

- 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

are anchored at the site

http://inside.mines.edu/Fac_Man

Colorado School of Mines Web Pages

These are anchored at the site

http://mines.edu/

and contain numerous links to academic, administrative, support and student services at CSM.

The Colorado Department of Higher Education

DHE (formerly CCHE) policy material is available at

http://highered.colorado.gov/dhedefault.html.

Last Revision:

July 15, 2014

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 CSM. These responsibilities, some of which may be delegated, include:

Accreditation
- Oversight of ABET and HLC Self-Study preparations
- On-site visit coordination
- Oversight of institutional compliance with academic accreditation requirements

Budget Issues
- College budget requests and allocations
- Budget Committee (Academic Affairs Voting Member)
- Academic fund management

DHE 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 Colleges
- Annual evaluations of Deans
- Oversight of college operations

Events
- Coordination of Commencements faculty marching lists
- August Faculty Conference
- New Faculty Orientation
- April Faculty Forum

Office of International Programs Oversight

Petroleum Institute Initiative

Registrar Oversight

Campus Computing and Information Technology Oversight

Library Oversight

Space Issues
- Academic space planning and allocations

Undergraduate Student Issues
- Curriculum development and implementation
- Complaints about academic issues
- Student academic progress monitoring and metrics
- Prior and post course approval signature sign-off

- Course substitution sign-off
- Student registration management

Graduate Student Issues

- Curriculum development and implementation
- Complaints about academic issues
- Student academic progress monitoring and metrics
- Graduate admissions and student registration management

.

Last Revision:

September 23, 2014

SECTION 2
GENERAL ADMINISTRATIVE PROCEDURES

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, and Promotion and Tenure consideration. 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 at http://inside.mines.edu/Calendars.

Last Revision:

May 30, 2014

2.2 DEPARTMENT AND ADMINISTRATIVE OFFICE HOURS, FACULTY OFFICE HOURS, COMMUNICATION REQUIREMENTS AND STAFF MEETINGS

OFFICE HOURS:
All CSM 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 a minimum of 6 office hours per week.

COMMUNICATION REQUIREMENTS:
Phone mail and email communication contact data for all offices should be available and advertised through appropriate Office websites and via CSM web lookup. 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 to respond to.

DEPARTMENT STAFF MEETINGS:
Department staff meetings should be held on a regular basis. Weekly staff meetings are recommended. Minutes for departmental meetings should be recorded and available for faculty review and, as necessary, accreditation activities.

Last Revision:

March 3, 2015

2.3 ALCOHOL AT CSM FUNCTIONS

Governing Policies:

Institutional Alcohol Policy - http://studentactivities.mines.edu/POGO-Board-of-Trustees_1
Student Alcohol Policy and Procedures –
http://inside.mines.edu/UserFiles/File/PoGo/Policies/STU/STU_Student_Alcohol_Policy.pdf
Section 2.1, Financial Policies – Propriety of Expenditures (http://studentactivities.mines.edu/POGO-Financial)
Section 2.9, Financial Policies – Alcohol Purchase (http://studentactivities.mines.edu/POGO-Financial)

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 be 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. The Request to Serve Alcohol Form is available at:

http://inside.mines.edu/UserFiles/File/studentLife/StudentActivities/Documents/Request to Serve Alcohol Form.pdf

Last Revision:

June 5, 2014

2.4 FEDERAL, STATE AND LOCAL GOVERNMENT AND MEDIA RELATIONS PROCEDURES

Governing Policies:

Media Relations Policy – https://inside.mines.edu/POGO-External

Procedure:

GOVERNMENT RELATIONS:
The President of the School, or designee, serves as the School's primary spokesperson for government relations. To ensure consistent School communication and effective coordination of the School's federal, state and local government relations, faculty and staff acting as School employees shall communicate and coordinate with the appropriate School federal, state and/or local relations staff (see "Campus contacts information" below), as well as to 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 the School's support for any potential or pending legislation or policy relating to the School, and before making any representations about the School's 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. In order to properly differentiate the School's communications from personal communications, faculty and staff shall not use the School's 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: contact the Chief of Staff
- Federal relations: contact the Vice President for Research and Technology Transfer

MEDIA RELATIONS:
The Media Relations Policy requires that:

- All announcements to the media from CSM must be coordinated with the Public Relations Office.
- When approached by the media, faculty may respond within their scope of expertise. But, the Public Relations Office and their supervisor should be informed of the contact as soon as possible after the contact.
- Faculty that know that they will be providing statements or that believe it is likely they will be asked to do so should work with Public Relations on how to best communicate with the media.

Public relations 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 Public Relations 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 Public Relations Office or Legal Services.

Last Revision:

June 16, 2014

SECTION 3
GENERAL PROCEDURES FOR FACULTY

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 nine equal installments on the last business day of each month from September through May. The days worked during August are paid at the end of May. Faculty members hired mid-year (e.g., start of the Spring semester) shall receive pay equal to the remaining regular monthly installments available to faculty who started at the beginning of the academic year. For example, 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 *Nnumber_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:

April 3, 2017

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 Nonprofessional, External Commitment Form (Handbook sections 6.4.1 B and 6.4.1 C)*; and
- *Request to Perform Extra CSM 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 web site at:

https://www.mines.edu/academic-affairs/faculty-resources/forms/.

The approval process for additional work is defined in the Faculty Handbook, section 6.4.3. Following this process, the completed form, signed by the employee and his or her Department Head/Division Director, signifying departmental approval, should be forwarded to the Associate 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 a full semester in advance. Academic Affairs will distribute final executed copies of the approved requests to both the Department and the faculty member.

If payment from CSM is due to the employee after completion of the work, the employee should complete an *Additional Payment Request Form*, which is available at the link above. This form is to be submitted to initiate payment by CSM 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 Human Resources Office for processing.

Last Revision:

July 30, 2019

3.3 FUNDS FOR WHICH FACULTY MEMBERS HAVE RESPONSIBILITY AND ACCOUNTABILITY

Governing Policies:

Fiscal Policies - http://inside.mines.edu/POGO-Financial
Educational Business Activities Policy - http://inside.mines.edu/POGO-Financial

Procedure:

At Mines, faculty often have access to and responsibility for administering School funds. These funds can advance the research and instruction mission of the School, fulfill the School's public service mission, or promote the professional development of faculty by advancing his/her 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 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 beginnings 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 process of hiring the faculty member.

These funds are established to enable a new faculty member to enhance their academic and intellectual development and performance by promoting opportunities such as: (a) engaging in research and curriculum development; (b) acquiring books, data and equipment; (c) publishing the results of his/her research; (d) supporting undergraduate and graduate students; (e) obtaining professional technical assistance; and, (f) 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. The faculty member's supervisor provides appropriate oversight of these funds and is responsible for conducting periodic reviews of their use; capital expenditures require supervisor approval. Department Heads have the responsibility to monitor expenditure of start-up funds, all faculty will be required to provide an accounting and/or justification of expenditures each year during the annual FDR/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 a time period of two years greater than the number of years of start-up disbursement negotiated upon hiring for tenured and tenure-track faculty 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 his/her 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. The faculty member must obtain his/her supervisor's concurrence for expenditures made. 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 the School must comply. 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 School, State or Federal regulation. These funds are subject to the overhead rate negotiated between the sponsor and the School.

Gift Funds - Gifts arise when an item of value is given to the School and the donor neither expects nor receives anything of value in return from the School. The School 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 he/she has financial management responsibility. These funds are subject to the overhead rate administered by the CSM 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 School'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 School. 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 School 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 CSM.

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 or may not elect to provide this balance or a portion thereof to the faculty member's department/division. 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 faculty member's department. Gift funds and sponsored project accounts will remain in the department/division 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 normally 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/division director and the Provost or his/her designee.

Last Revision:

August 23, 2016

3.4 INSTRUCTIONAL USE OF GRADUATE STUDENTS

Governing Policies:

Assistantship Policies - http://inside.mines.edu/GS-Assistantship-Policies
Graduate Contracts - http://inside.mines.edu/GS-Grad-Contracts

Procedure:

Mines is a relatively small, technical 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 and budgetary distributions, the difficulty in some disciplines of attracting faculty, and finally, 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 regular, full-time 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 Hourly Appointments:
To allow faculty to manage their time efficiently, 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 (http://inside.mines.edu/GS-Grad-Contracts), including:

1. All full-time graduate students are eligible. Students are selected and appointed on the basis of the needs of the departments or divisions 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. They may not deliver lectures, supervise laboratory exercises, or be given any instructional duties or responsibilities.

3. Departments and divisions may make the appointments at any time using the standard Graduate Hourly contract forms and processes

Graduate Teaching Assistants:
To allow faculty to manage their time efficiently, and to provide graduate students experience in a teaching role, it is appropriate for the institution to support the notion of Graduate Teaching Assistants. Such appointments may be given to graduate students under the policies and procedures currently in place (http://inside.mines.edu/GS-Grad-Contracts), including:

1. All full-time graduate students are eligible. Students are selected and appointed on the basis of the needs of the departments or divisions and the capabilities of the students.
2. The duties of a Teaching Assistant are limited to setting up laboratory facilities, providing assistance to students with problem sets and laboratory exercises, supervising laboratory and recitation sections,

grading homework and exams, and other duties as appropriate but 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 or divisions may make the appointments at any time using the standard Graduate Assistant contract forms and processes.

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 a doctoral student to be an instructor of record in a course. Teaching Fellowship Appointments acknowledge a student as being an instructor of record. Materials for contracting students as Teaching Fellows are available by contacting the Dean of Graduate Studies. The Dean of Graduate Studies has authority to approve Teaching Fellows on a case-by-case basis.

To be approved as a Teaching Fellow, the Department Head 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 have 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.
3. The appointee must have had some teaching experience or have completed, or be concurrently enrolled in, SYGN600, Fundamentals of College Teaching.
4. A full-time permanent faculty member must be assigned as mentor and agree to:
   - Review and approve syllabi, homework assignments, laboratory instructions and exams.
   - Observe selected classes and provide feedback.
   - Monitor grading practices and assignment of grades.
5. The course mentor should not be the student's academic advisor and further must 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 as part of a thesis committee.
6. At the end of the semester, the faculty mentor must submit a written analysis of the appointee's performance to the department head or division director. The analysis should be based on factors that include the student teaching evaluations, the mentor's personal observations in class, and the written material prepared and distributed by the instructor.

Last Revision:

June 2, 2014

3.5 HIRING UNDERGRADUTE STUDENTS

Procedure:

Undergraduate students (i.e., those that are fully admitted into a undergraduate degree program at CSM) 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. Appointees 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, appointees must be enrolled.
3. During the summer term, appointees do not need to be enrolled.
4. Appointees 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, as student employees are expected to continue to devote an appropriate amount of time and energy to completing their degree requirements and additionally 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.

The Implementation Agreement form for hiring undergraduate students is available at: https://inside.mines.edu/HR_Forms

Once completed these agreement forms should be emailed to student.contracts@mines.edu.

Last Revision:

August 26, 2014

3.6 SUMMER PROGRAM GUIDELINES

Governing Policies:

Section 6.1.5, Faculty Handbook – Summer Services

Procedure:

Early in the Spring semester, the Office of Academic Affairs will forward to the College Deans a request for offering courses, both regular and field, during the Summer I and Summer II sessions. The Deans will work with Department Heads to determine summer course needs and opportunities and return a list of proposed summer offerings back to the Dean's Office by mid-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 Dean will review these requests and approve based on the conditions defined below.

Regardless of term of offering (i.e., Summer I or Summer II), regular classroom offerings 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.

Regular Classroom Offerings:
Regular classroom offerings will usually only be approved by the Dean if enrollment in the course is sufficient to cover the cost (i.e., both direct and indirect) of delivering the course. The appropriate College Office 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 appropriate College Office will continue to monitor enrollment and may cancel courses that were provisionally approved based on low student enrollment.

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 receives as compensation 4.1667% of his/her AY salary for every credit hour delivered. During the summer, maintaining this expectation, a faculty member's summer pay can be computed as:

Faculty_Salary = Faculty_AY_Salary * 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 (Faculty_AY_Salary / 185 days) as:

Faculty_Salary_Daily = Faculty_AY_Salary_Daily * Credit_Hours * 0.2569[1] (Summer I)
Faculty_Salary_Daily = Faculty_AY_Salary_Daily * Credit_Hours * 0.1927 (Summer II)

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

[1] 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.

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 deliver above 5 credit hours.

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:

Days_Available = 30 – Credit_Hours * 7.7083 (Summer I)
Days_Available = 40 – Credit_Hours * 7.7083 (Summer II)

Field Offerings:
Unlike the classroom offerings defined above, field offerings are required components of a program's curriculum that cannot be delivered at any other time during the academic year. As such, support for these offerings is formally budgeted and the Office of Academic Affairs does not use the formal criterion defined above to determine whether or not a field course is running fiscally in the black. The Dean will, however, work with the Department Heads to review and evaluate Field program budgets to ensure these offerings are run as efficiently as is academically possible.

Faculty salary derived from a field program offering is computed using the following formula:

Faculty_Salary = 1 / 185 * AY_Salary * Days_in_the_Field * Percent_Effort

Last Revision:

February 28, 2017

3.7 LEAVES OF ABSENCE

Governing Policies:

Section 5.4, Faculty Handbook – Leave Benefits
Section 8.1.1, 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, 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 in the absence of the Dean, the appropriate Vice President.

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

1. As soon as possible, the faculty member should provide her/his 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 his/her 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 in addition to 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.

Under no circumstances are Department Heads 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 8.1.1, regarding the requirements of, and the process for requesting a probationary contract extension.

Last Revision:

October 27, 2015

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 will be provided with office space to the extent possible according to the following guidelines. Space assignments and reassignments for faculty are at the discretion of the department head/division director and are made with broad consideration of optimization of facilities use within that unit's allocated space. Faculty on transitional contracts will be provided with office space, however, they may be asked to relocate to a different room, and/or to share their office with another member of the department. Fully retired emeritus faculty may be provided with office and/or lab space, if the DH/DD has space available, including within a suite shared by several individuals. At any time, reallocation of space within the unit may result in fully retired faculty being asked to vacate their offices and/or lab space.

Last Revision:

October 5, 2011

3.9 SABBATICAL REQUESTS

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 her/his Department Head. The faculty member's request should contain the following:

1. Faculty member's name, department/division, area(s) of expertise, length of service at CSM (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/division and CSM more generally as appropriate, and 3) CSM students.
4. The hardship imposed on the faculty member's colleagues or department/division should the sabbatical be granted, along with a detailed explanation of how the hardship will be ameliorated, and
5. A completed Sabbatical Request Summary.

The Sabbatical Request Summary is available at the link below:

Sabbatical Request Form.

Please note that the Board of Trustees (BOT) 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. In addition, please submit the form in **Word format (not PDF).**

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/division, the areas of expertise involved, and how the department/division will handle multiple faculty absences over upcoming year.

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

Finally, the *Faculty Handbook* requires that a sabbatical report be filed in a timely manner after the conclusion of the sabbatical. At the BOT's request, faculty may be invited to make a presentation to the Board about their sabbatical.

Last Revision:

May 29, 2014

3.10 INSTRUCTIONAL DEVELOPMENT ASSIGNMENT REQUESTS

Governing Policies:

Section 6.1.6, Faculty Handbook – Instructional Development Assignment

Procedure:

The Colorado School of Mines recognizes and supports the efforts of its non-tenure 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 the provision of opportunities for non-tenure track faculty for the purpose of enhancing the faculty member's 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 her/his 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 her/his Department Head. The faculty member's request should contain the following:

1. Faculty member's name, department/division, 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/division should the IDA be granted, and
5. A completed IDA Request Summary.

The IDA Request Summary is available at the link below:

IDA Request Form

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.

Finally, the *Faculty Handbook* requires that a sabbatical report be filed in a timely manner after the conclusion of the sabbatical. At the Provost's request, faculty may be invited to make a presentation to the Board about their IDA.

Last Revision:

August 14, 2019

3.11 BUSINESS CARD PROTOCOL

Business cards should only be used if the holder of the cards has a current appointment. Business cards should indicate the rank of the appointment for both tenure-tenure-track and non tenure-line faculty, as described in the appointment or contract letter, and adhering strictly to the ranks described in Section 4 of the Faculty Handbook. Faculty holding a PE license wishing to include this certification as part of their business card must also include an indication as to the state from which the license was granted.

Institutional requirements of, and the procedure for purchasing business cards are defined on the Public Relations website (http://inside.mines.edu/Business-cards-letterhead-and-envelopes).

Business cards for graduate students should only be used if the student is registered in a graduate program at CSM. Business cards must indicate that the holder is a graduate student and must identify the degree program and department of residence. The Graduate Student Government Association facilitates the purchase of business cards for graduate students.

Last Revision:

May 29, 2014

3.12 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 clear up confusion over the 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 his or her 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 counsel in the Legal Services Office so that they may assist in resolving those.

Last Revision:

May 29, 2014

SECTION 4
FACULTY HIRING AND TERMINATION

4.1 REQUIREMENTS FOR CONDUCTING FORMAL FACULTY SEARCHES

Governing Policies:

Section 4.7, Faculty Handbook – Faculty Appointment Process

Procedure:
The following policy defines the process through which faculty must be employed by the School of 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:* All Teaching Faculty positions must be filled through a formal search process.

- *Chaired Visiting Professorships:* All chaired visiting professorships must be filled through a formal search process.

- *Professor of Practice:* All Professors of Practice positions 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.

- *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. As initial postdoctoral appointments are normally made for one year, a formal search process for filling a postdoctoral appointment is not required. 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, the Dean, and at least two members of the department. 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/division director.

- *Department Heads, Division Directors, and Deans:* The decision on whether or not to conduct external searches for Department Heads, Division Directors, 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:

June 16, 2016

4.2 HIRING PROCESS FOR ACADEMIC FACULTY

Governing Policies:

Section 4.2, 4.3, 4.4, and 4.5, Faculty Handbook – Minimum Qualifications

Procedure:

Search Request:
To seek and receive approval for a new hire, faculty or otherwise, the following procedure should be adhered to:

a. 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) estimates space requirements.
b. 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.
c. 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.
d. To start the search process, the Department Head or Program Director should,

    i. 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 who are from the hiring department. In the case of interdisciplinary hires, the search committee must have an academic faculty member from each home department participating in the program and may not include Department Heads from any of these departments.
    ii. For hires of library faculty, following consultation with appropriate constituency groups, the Library Director 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 who are library faculty. At least one committee member must be from outside of the library.
    iii. 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 EEO and Affirmative Action compliance. The vacancy shall then be advertised in appropriate publications or venues.
    iv. Complete the Faculty Recruitment Authorization Form (RAF). The “Search Budget” listed on the RAF should be set to the index number of the appropriate Dean's search account.
    v. The search package (i.e., RAF, position advertisement, and selection criteria) is forwarded to the Dean for review and approval. 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. As soon as possible after HR approval of the advertisement and selection criteria, HR will place the advertisement in the venues recommended by the Committee and approved by the Department Head and Dean.
b. After the Office of Human Resources approves the selection criteria and places the advertisement, the Committee must be formally charged. The Office of Human Resources will inform the Committee of upcoming opportunities for meeting the formal charge requirement.
c. The Committee is encouraged to proactively reach out to appropriate colleagues at other institutions to expand the pool of candidates who apply for the position. Special attention should be paid to producing as much ethnic and gender diversity as possible in the search pool.
d. The following process shall govern the selection of finalists. The faculty search committee shall perform the applicant screening process and identify qualified candidates. The search committee will work with the Department Head/Program Director to develop a recommendation as to which candidates, if any, shall 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(s) should be consulted as to whether the search should proceed.
e. Once the committee has narrowed the search to a selection of finalists, the committee must formalize its recommendation in memo format to the Department Head (if the committee reports directly to a Dean, the memo should go to the Dean). One aspect of this memo is a summary of the scores, based on the selection criteria, to justify the choices of most promising candidates. The Department Head (if appropriate) and Dean must formally concur with the recommendation, doing so memo format to the Search Committee Chair.
f. The Search Committee Chair completes the Recommendation for Interview Form, with the appropriate signatures and submits this form to HR with a copy to Academic Affairs.

Interview Guidelines:
Faculty candidate, both TTT and Teaching, interviews should conform to the following guidelines:

a. The finalist(s) shall be interviewed by the search committee and members of the department/program and the administration. Following interview(s), the search committee and Department Head/Program Director shall work with the department(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 must 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. During the interview process, the Dean and/or Department Head must ask the candidate what their salary expectations are and also ascertain some level of startup expectations from the candidate.

Interviewer	Type of Candidate				
	Dean	DHDD	Chaired Position	Tenured Faculty	All Ranks Tenure-track & Teaching Faculty
President & Provost (together)	30 minutes	30 minutes			
Provost	30 minutes and a meal	30 minutes	30 minutes	30 minutes	
Associate Provost	30 minutes	30 minutes	30 minutes	30 minutes	30 minutes
*EVP & COO	30 minutes	30 minutes			
*VP for Research & Tech Transfer (VPRTT)	30 minutes	30 minutes	30 minutes	30 minutes	
Vice Provost/Dean	60 minutes	60 minutes	60 minutes	30 minutes	30 minutes

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

At their election, the Provost may delegate the interview to another individual.

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

* Typically, a candidate will only interview with the above listed executive if they are available.

ALL FINAL CANDIDATES					
	Dean	DHDD	Chaired Position	Tenured Faculty	All Ranks Tenure-track & Teaching Faculty
President & Provost (together)	Above	Above	30 minutes	30 minutes	30 minutes

Decision and Hiring Processes:

a. The faculty of the Department(s) shall develop the hiring recommendations of the department(s). In developing their recommendations, the Search Committee and Department Head must seek faculty input and are encouraged to use the Faculty Candidate Assessment Process (FCAP) that may include solicitation of information concerning how actively each faculty member participated in the interview process. 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. Regardless of specific approach, faculty outside of the search committee and the Department Head/Program Director will be canvassed concerning the hiring recommendation. Best practice for obtaining faculty input is for the process to be anonymous. In the case of interdepartmental hires, the faculty of each department should develop hiring recommendation(s) in this manner.
b. After sharing recommendations from the Search Committee, the results of the faculty input, and his or her recommendations with the entire faculty, 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 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 in the decision 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 that 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 FCAP described above.
e. The Dean (or his or her delegate) must provide approval on the hiring action before any offer, verbal or written, is made. As a part of the approval, the 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 expenses – AA typically provides $5k for new faculty hires. Expenses allowable are covered by the "Moving Policy." Exceptions and supplements to this by departments are considered by 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, he/she 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 should complete an HRS form for Human Resources and instruct the new faculty member to contact Human Resources to sign up for New Employee Registration.

Last Revision:

December 7, 2017

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 CSM 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. CSM 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 CSM 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, Division Directors or Deans will be asked to assist in acquiring the necessary information from the applicant. Applications for O-1 visas will be done 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. CSM 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. CSM 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 the School, as an employer, to subsidize or assist the employee with legal representation or USCIS fees for any aspect of the permanent residency application process. CSM 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, CSM 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 the School 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 the School'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 his or her 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 the School to take immediate steps to terminate the faculty member's employment.

Last Revision:

September 12, 2016

4.4 REQUIRED DOCUMENTATION FOR NEW CSM FACULTY

Upon hiring, the following documentation should be submitted to Academic Affairs for all new faculty, including academic, adjunct, research, 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 CSM's accreditation agencies.

Last Revision:

February 11, 2008

4.5 FACULTY APPOINTMENTS FOR GRADUATE STUDENTS

Governing Policies:

Section 4.3, Faculty Handbook – Minimum Qualifications for Non-Tenure Track Instructional Faculty Titles
Section 4.4, Faculty Handbook – Minimum Qualifications for Research Faculty Titles
Section 5.3.1, Faculty Handbook – Degree Candidates

Procedure:

On occasion, there are good reasons to want 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. In the case of appointing graduate students to a faculty position, however, the requirement for advertising the position can be waived by the Provost.

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:

a. 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.
b. The department head or division director must certify that the graduate student has the appropriate knowledge and/or experience that make her or him well suited to the position.
c. 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.
d. 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.
e. 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:

June 5, 2014

4.6 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 appropriately constituted Departmental Promotion and Tenure Committee, the Department Head, and the College Dean. Non-remunerative appointments that do not involve faculty rank (e.g., research assistant, research associate, etc.) do not require a recommendation from the Dean.

As per the Faculty Handbook, non-remunerative appointments are available for the following faculty titles: Adjunct, Visiting, Visiting Scholar, Research Associate, Research Professor (at any rank), and Affiliate Faculty. Please see section 4.1.2 of the Faculty Handbook for descriptions of the roles of each of these faculty titles.

Recommendations along with the appropriate Human Resources action form (http://inside.mines.edu/HR_Forms) should be forwarded to the Associate Provost for final approval.

When the office of the Associate Provost receives the request, it will send a letter to the faculty member (sample letter follows). When the signed letter is received, the Associate Provost will send copies to Human Resources and the Department/Division, as well as place the original in the faculty member's file.

A background check is required for all no-remuneration faculty or staff that work directly with students, (just as it is required for all paid faculty and staff).

Once a non-remuneration 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-remuneration appointments are at most, one-year appointments. Renewal of the appointment is available, but only done upon the recommendation of the appropriate Departmental Promotion and Tenure Committee, the Department Head, and the College Dean.

Last Revision:

June 18, 2014

SAMPLE NON-REMUNERATION FACULTY APPOINTMENT LETTER

«Full_Name»
«Address_1»
«Address_2»
«Address_3»

Dear «Name»:

I am pleased to offer you an/extend your appointment as «Title» in the «DepartmentDivision» at the Colorado School of Mines ("Mines") for the period «Start_Date» through «End_Date» with no remuneration.

Although your volunteer appointment is not considered employment and does not confer the employment rights and privileges listed in the Mines Faculty Handbook ("Handbook"), you will be expected as a Mines appointee to abide by the restrictions on the unauthorized use of Mines' name contained in Section 6.2.3.B of the Handbook, which can be found at http://inside.mines.edu/UserFiles/File/policies/FAC/FH_Sec6.pdf. You will also be required to comply with all other pertinent Mines policies and procedures, including, but not limited to, those set forth in the Faculty Handbook, the Academic Affairs Procedures Manual and on the Institutional Policy website. Please be advised that non-remuneration volunteers are not eligible for Mines benefits, except for liability insurance provided through the State Office of Risk Management, which Mines is required by law to provide.

This offer is contingent upon the Mines' receipt on the first day of your appointment period of acceptable documents that demonstrate you are legally permitted to work in the United States. This is mandated by federal law, specifically the Immigration Reform and Control Act of 1986 (IRCA). A list of acceptable documents can be found at http://inside.mines.edu/New_Employee_Information by following the "I-9 Immigration" link. You are solely responsible for obtaining all necessary documents prior to your first day at Mines. If you do not provide these documents by the first date of your appointment, this offer of appointment will be rescinded and withdrawn.

This offer is also contingent upon Mines' verification of your credentials and other information required by Mines policies, including the successful completion of a criminal history background check, *prior to your start date*. The Background Investigation Disclosure and Authorization form and a Summary of Your Rights document that we are required to provide you as part of our background screening process can be found at http://inside.mines.edu/HR_Forms and is also attached to this letter for your convenience. Please submit this form to Human Resources at dstrujil@mines.edu.

Please provide Academic Affairs with an *official* transcript of your highest degree. We recognize that obtaining official transcripts may take some additional time. Please assure that we receive your official transcripts by , XXXX.

This appointment contains the entire agreement between Mines and the Volunteer on the subject of the volunteer's appointment by Mines and shall supersede any and all prior written or oral agreements or representations between the parties on this subject. Please indicate your acceptance of this appointment under the terms stated above by signing this letter and returning it to Academic Affairs no later than «RETURN_DATE».

Thank you for your participation and contribution to the educational program of Mines. I am sure our association will prove to be mutually beneficial and worthwhile.

Sincerely,

Terry Parker
Provost

AGREED TO AND ACCEPTED BY:

_____ _____

Volunteer Signature Date

cc: «Department_Head»
Mines Office of Human Resources
File

1/13/12

4.7 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

4.8 TERMINATING SALARY CONTRACTS AND SEPARATION OF EMPLOYEES FROM CSM

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 CSM for any reason, it is required that the Department/Division complete a Separation Form. This form is available at http://inside.mines.edu/HR_Forms

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 the Colorado School of Mines. On the contrary, for many employees, especially those working on research accounts, departments activate a new HRS form for a period immediately beyond the previously expired "end-date" and keep the employee in continuous employment of the School.

Any assumption that the Separation Form "end-date" automatically invokes a full employer-employee separation is incorrect. While salary actions will cease, continuing payment of health premiums by CSM for an eligible faculty member do not. This is advantageous for employees who serve continuously, but whose salary payments must be renewed periodically as funding changes, and as implemented through successive filings of HRS 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, the School could face significant liabilities and penalties. There are also PERA complications: failure to get timely termination information to PERA has an impact on service dates and final payout of any balances, which in turn can negatively affect (for the individual) the calculation of highest average salary.

It is therefore essential, and required, that when an individual is not only ending his or her salary contract period (per the HRS form) but is also leaving the Colorado School of Mines, that Departments and Divisions 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:

June 3, 2014

SECTION 5
FACULTY EVALUATION

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 and divisions;

4) Recognize individuals for providing satisfactory or exemplary 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.

All faculty members defined above must complete a Faculty Data Report Narrative (FDRN) annually. The schedule for completing the FDRN is provided by Academic Affairs, as part of the Academic Affairs calendar. Typically, the completion date by which faculty must submit FDRNs to their Department Heads is sometime during the early portion of the Spring semester.

The FDRN template is available online on the Academic Affairs website. Note, that Departments, working with Colleges and individual faculty will provide and verify institutional data (e.g., courses taught, enrollment, students advised, students graduated, research funding) for each faculty member from which the narrative is to be constructed.

The evaluation template that the Department Head may use can be found online on the Academic Affairs website. After completion of all departmental evaluations, Department Heads submit all FDRNs and the evaluation forms to their respective colleges. Both the faculty data report and the evaluation form should be submitted with original signatures. College Deans shall advise the Provost of any faculty who receives overall evaluations of "needs improvement" or "unsatisfactory."

Last Revision:

March 3, 2015

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/division educational goals
- Contribution to other educational programs
- Contribution to curriculum development

Scholarship

- Breadth 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/division affairs
- Mentoring of tenure-track faculty, postdoctoral faculty and graduate students
- Contribution to university affairs
- Contribution to professional societies
- Activities with government and/or industry
- Contribution to public service

Other Work-Related Skills and Activities

- Motivation
- Imagination and creativity
- Scientific/engineering maturity and self-reliance
- Responsibility and reliability
- Ability to make sound professional judgments
- Ability to express himself/herself orally and in writing
- Rapport with others
- Leadership

Last Revision:

August 7, 2014

5.3 DEPARTMENT HEAD EVALUATION PROCEDURE SUMMARY

The Department Head prepares a Department Head Faculty Data Report and submits same with supporting materials to his/her college Dean by the deadline posted on the Academic Affairs calendar. Typically, these are due by the third Friday in February.

The Department Head Faculty Data Report Narrative template is available online on the Academic Affairs website. Prior to the end of the academic year the College Dean reviews the material submitted and evaluates the annual performance of each Department Head in his/her college.

The evaluation template that the Dean uses can be found online on the Academic Affairs website. The Dean schedules a meeting with each Department Head to discuss his/her evaluation of the Department Head's annual performance. College Deans shall advise the Provost of any Department Head who receives overall evaluations of "needs improvement" or "unsatisfactory."

Last Revision:

March 3, 2015

5.4 DEPARTMENT HEAD RESPONSIBILITIES AND BASIS FOR EVALUATION

Overarching Responsibilities and Expectations

The Department Head or Division Director (DH) provides vision, leadership, and overall management for his or her unit. The DH reports directly to the College 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 units programs, support, and creative/research activities.

Vision:

- Lead the development and implementation of a strategic vision for the unit 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 intellectual environment consistent with the Faculty Senate statement of values
- Create and foster a supportive educational environment for all students served by the unit
- Encourage, develop, and support strategies to achieve student success
- Encourage, develop, and support strategies to achieve both research and teaching excellence
- Engender a culture of excellence, co-operation, diversity, and respect both within and outside of the department
- Promote and positively represent the department and university both internally and externally
- Promote high ethical values and transparency in decision making
- Recruit, select, mentor, and evaluate faculty and staff who will 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 in the career of an individual
- Manage overall budget and unit administration in strict accordance with dollar and FTE allocations and in accord with university rules and procedures
- Ensure that students and sponsors supported by the unit are served ethically and effectively, while meeting the expected educational or scholarship outcomes

University Participation:

- Engages unit faculty in university and college 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 unit faculty in university recruiting activities
- Represents and advocates for unit in university context
- Represents and advocates for university administration with unit faculty and staff

Basis For Evaluation of Department Head Duties

- Caliber and quality of faculty and staff hires
- Faculty development and mentorship (promotion and tenure success, faculty scholarship activities, awards won by faculty, etc.)
- 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., SCH/faculty, $'s/research space, etc.)
- Engagement in university initiatives and activities (e.g., unit participation in interdepartmental committees and working groups, unit participation in cross departmental research and educational activities,
- Value of contributions to meeting programmatic and university goals and objectives
- Effectiveness of departmental management (e.g., budget, scheduling, evaluations, etc.)

Last Revision:

January 16, 2018

5.5 COURSE EVALUATIONS

Online student evaluations of faculty effectiveness in teaching are conducted each semester, including the summer terms. Course evaluations are mandatory for all courses with enrollment of five students or more. Only "instructors of record", those who are formally defined as having responsibility for course delivery are evaluated as part of the course evaluation process. For courses that are team taught, all "instructors of record" are evaluated separately.

Formal course evaluations are conducted during the last week of each semester. The Office of Academic affairs will send notifications to instructors and students that evaluations can now be completed. Evaluations are made available via email links or through Blackboard.

To ensure high response rates, Faculty are asked to:

- 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 10 minutes during class time for completion of the evaluations. Academic Affairs will provide the links for each course to students in a separate email. A module with links to evaluations is also available on the MyMines Tab in Blackboard.

- If classroom time is provided, the instructor should leave the room while the students complete the evaluation.

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

In addition to the formal, end-of-semester evaluations, faculty are encouraged to use the Blackboard evaluation system for early and mid-semester feedback. Any evaluation feedback obtained outside of the formal, end-of-semester evaluation, is to be used by the faculty member only, so that he/she may engage in ongoing course improvement efforts.

Last Revision:

March 9, 2015

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 of the probationary appointment up to the Preliminary Tenure Review (PTR). PGPs are reviewed as part of *any* faculty evaluation, including the PTR. As such, the PGP constitutes an early step in the promotion and tenure process.

Professional Growth Plans need not be voluminous. They should, however, be broadly modeled to parallel the content and section format of the Faculty Data Report Narrative (FDRN). That is, the PGP should include major sections titled Teaching, Scholarship and Service. The content addressed in each these sections should relate to the subcategories defined in each section, such that it is clear that by successful implementing the PGP will naturally lead to strong performance evaluations as measured by the FDRN and ultimately a strong indication of successful tenure application as provided by the PTR process.

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 College Dean. Upon review by the Dean, the PGP shall be forwarded to AA and filed in the individual's personnel file.

Last Revision:

December 18, 2018

SECTION 6
PROMOTION AND TENURE

6.1 PROMOTION/TENURE TIMETABLE AND 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 the Spring semester. The current calendar is available at http://inside.mines.edu/Calendars.

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 members who are otherwise eligible to participate in a Departmental Promotion and Tenure Committee, but who are on sabbatical may – at their discretion – choose to not participate in Departmental Promotion and Tenure Committee activities. If faculty on sabbatical choose to not participate, they are not considered an "eligible" member of the Committee as defined in item 5 below.

   If faculty on sabbatical choose to participate in the promotion and tenure process, they are expected do so as full members of the Departmental Promotion and Tenure Committee. Faculty members on sabbatical have identical expectations and obligations to the departmental promotion and tenure process as faculty members not on sabbatical.

2. As provided by the Faculty Handbook, the Department Head may be required to solicit external evaluations of the candidate's credentials. All letters received from this solicitation must be added to the candidate's application package, following the procedure identified in 6.3 below. It is not appropriate to exclude any solicited letters.

3. 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 Departmental Promotion and Tenure 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 references should be redacted before the recommendations are provided to the applicant at the conclusion of the process.

4. The Colorado School of 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, the Colorado School of 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. Normally, this precludes CSM colleagues and former advisors.

5. The Departmental Promotion and Tenure 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 Committee should consider the criteria for tenure and or promotion listed in the Faculty Handbook and must address the specific items listed in Section 6.5 of this Procedures Manual. As part of its recommendation, the Departmental Promotion and Tenure Committee shall hold a 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 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 himself or herself from deliberations about that specific case. The committee's report should communicate the vote tally and number of faculty who were recused from the deliberations. In the case of a split vote, an additional letter summarizing the dissenting view also must be submitted so that all relevant information about the case is transparent and shared with subsequent parties to the review process. 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. This written recommendation should be added to the application package before submission of the package to the Department Head. At least ¾ of the eligible members of the Committee must participate in the decision (participation in the tenure/review process is a required service activity for all eligible committee members that are not on sabbatical or extended sick leave).

6. The Department Head reviews the application package and the Departmental Promotion (and Tenure) recommendation and makes his/her own written recommendation, which is added to the application package. In preparing this recommendation, the Department Head should consider the criteria for tenure and/or promotion listed in the Faculty Handbook and must address the items listed in Section 6.5 of this Procedures Manual. The complete application package is forwarded to the Provost in the format directed by the Office of Academic Affairs. This written recommendation produced by the Department Head should be added to the application package before submission of the package to the Provost.

7. The Office of Academic Affairs shall make complete application packages available to the University Promotion (and Tenure) Committee for their review. The University Promotion and Tenure Committee shall conduct a thorough and independent review of all tenure applications received during the relevant time period. The Committee should consider the criteria for tenure and or promotion listed in the Faculty Handbook and must address the specific items listed in Section 6.5 of this Procedures Manual. The University Promotion and Tenure 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 should recuse themselves from deliberations about that candidate's case. In addition, committee members should 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 himself or herself 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 University Committee shall submit recommendations, including the vote tally and the number of faculty who recused themselves from the deliberations, to the Provost.

8. Again, guided by Section 6.5 of this Procedures Manual, the University Promotion (and Tenure) Committee provides a third formal, and written recommendation related to the action being sought.

9. As directed by the Faculty Handbook, the Provost consults with the Deans on all tenure and promotion candidates. As part of this consultation requirement, the Deans shall review each candidate dossier, and each Dean shall provide the Provost a formal written recommendation of each candidate being considered from his/her college.

The Provost 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.

10. If a need for clarification arises at any stage of the process, any of the parties reviewing the package (Department Head, Department Promotion and Tenure Committee, University Committee, 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 by the candidate, should be included as an addendum to the appropriate letter of recommendation produced by the Department Head, Department Promotion and Tenure Committee, etc. Requests for additional information should normally come from the Committee Chair, when applicable.

Last Revision:

November 1, 2017

6.2 GUIDELINES FOR SUBMISSION 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 6.4 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. 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.

Each application package must include, in the order given, the sections defined in the ***Package Template*** provided on 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, and 5d – Publications and Presentations may be omitted if not relevant. Item9 – External evaluation letters must be omitted. Items 11b – Scholarly Achievements, 11c – External Fund Raising, and 11d – Student advising may be omitted if not relevant.
Research	Item 5b – Teaching and Related Activities may be omitted if not relevant. Item 11a – Teaching Accomplishments may be omitted if not relevant.
Library	Items 5b – Teaching and Related Activities, 5c – Scholarly Activities and 5d – Publications and Presentations may be omitted if not relevant. Items 11a – Teaching Accomplishments, 11b – Scholarly Achievements, 11c – External Fund Raising and 11d – Student Advising may be omitted if not relevant.

Last Revision:

May 30, 2017

6.3. GIDELINES 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. External evaluators should be provided, for their review, the promotion and tenure package provided to the Department Head by the candidate excluding sections: 2, 3, 6, 7, 8 and 9 as defined in section 6.2 of this Procedures Manual.

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 promotion at Mines, as well as at the reviewer's home institution.

Considerations in soliciting reviews from strong external reviewers should include:

- reviewer academic achievements: seek out reviewers who are highly regarded in the candidate's field, have exceptional scholarship records, and if in academic employment are at the full professor level;
- reviewers should be from peer or aspirant peer programs and institutions;
- reviewers should not have a close relationship to the candidate (i.e., advisors, collaborators, etc.), the greater the "distance" between the reviewer and the candidate, the stronger the recommendation.

Candidates and the Departmental Promotion and Tenure 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 Departmental Promotion and Tenure Committee determine there are good reasons not to do so. In consultation with the Chair of the Departmental Promotion and Tenure Committee, the Department Head will then request external letters. The candidate dossier should ultimately contain 5 to 7 letters of recommendation from external reviewers, with a balance between names suggested by the candidate, the Department Head, and the Promotion and Tenure Committee, and the file shall include a notation indicating which reviewers were selected by whom. At least 1/3 of the requested letters should be from reviewers recommended by the candidate. External reviewers should be independent of the candidate and Ph.D. advisors should be avoided. Reviewers should primarily be Professors affiliated with peer and aspirational peer programs. Associate Professors and/or reviewers from other institutions may be acceptable when it is clear that they are nationally recognized, possess pertinent expertise, and understand promotion and tenure norms at peer and aspirational peer institutions. In his/her request for letters of recommendation, the Department Head must make the University and Department expectations clear to the external letter writers. An example request letter is available in the Academic Affairs Procedures Manual. Candidates should not discuss the

review with potential reviewers, lest this be viewed as attempting to influence their independence of judgment. Likewise, neither the Department Head nor the Departmental Promotion and Tenure 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 Departmental Promotion and Tenure 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 minorities 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.

Two sample letters of invitation to external reviewers are provided on the next page.

Dear Professor XXXX,

I am grateful to you for agreeing to evaluate XXXX credentials for tenure and promotion to associate professor in the Department of XXXXX during this academic year.

At the Colorado School of Mines (Mines), advancement 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 members of the faculty to become leaders in their disciplines with strong records of scholarship, demonstrated service to their fields, and dedication to high quality teaching at the undergraduate and graduate levels. The decision regarding tenure is based on the individual's academic accomplishments and on an assessment of the potential (or likelihood) for continued growth in accomplishments and professional reputation.

We would very much 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.

Please begin with a statement of whether you know the candidate and his work. In this context, address any circumstances that might raise issues of impartiality as they relate to your assessment of the candidate. We would like you to critique the quality, importance, impact, and quantity of the candidate's scholarly contributions and compare to the work of others in your 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 each published work separately or in combination as seems appropriate. We are interested in your judgment of the quality of the journals and the importance of the conferences through which Dr. XXXXX has communicated this work. Finally, we ask that you provide your opinion of how Dr. XXXXX's application would be viewed if the case were being considered at your home institution.

The enclosed electronic package includes (1) Dr. XXXXX's curriculum vitae, (2) his/her personal statement, (3) a series of explanatory narratives, and (4) pertinent materials concerning the criteria for tenure and promotion. Our process requires that we receive your letter by _____, so that it can be included in the materials that are examined internally. 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 department or college 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. Your 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 college and university levels. 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.

Would you please also send me a brief biographical statement when you send your letter? As mentioned above, our departmental faculty as well as the campus committee and administrators would find your biographical sketch helpful when considering your letter.

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 thoughtful comments and perspectives.

Sincerely,

XXX

Dear Professor YYYYY,

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

At our institution promotion to the rank of Professor is based upon the individual's established record. Mines expects an individual with this rank to be an established leader in their discipline with a strong record of scholarship, demonstrated service to their field, a dedication to high-quality teaching at the undergraduate and graduate level and to have demonstrated the likelihood of continued growth in accomplishments and professional reputation nationally and internationally.

From an external reviewer, we are primarily interested in your assessment of the merits of Dr. XXXXXX'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. XXXXXX's contributions to pedagogy, we welcome comments on that aspect of the candidate's case. In particular, I would appreciate:

1. A statement of how you know the candidate and his/her 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 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 each published work 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 Dr. XXXXXX has communicated this work.
3. Any other insights you might have about Dr. XXXXXX's scholarly accomplishments.
4. Your opinion of how Dr. XXXXXX's application would be viewed if the case were being considered at your home institution (if applicable).
5. A brief biographical statement (one page or less is fine!). Although our departmental faculty know you and your work, the campus committee and administrators would find your biographical sketch helpful when considering your letter

Please recall that ideally we need your letter by October XX, 20YY.

I have enclosed a copy of the Dr. XXXXXX's materials, including Dr. XXXXXX's curriculum vita, his personal statement, some recent publications, summaries of graduate students, teaching accomplishments, and research funding, and pertinent materials concerning the criteria for tenure and promotion at CSM. You may also access this material electronically by following the instructions sent in an earlier email.

If you have any questions about Dr. XXXXXX'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 department or college concerning your evaluation or the review process. Also note that 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. Your 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 college and university levels.

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 thoughtful comments and perspectives.

Sincerely,

XXX

Last Revision:

July 19, 2016

6.4 PRELIMINARY TENURE REVIEWS FOR TENURE-TRACK FACULTY

Governing Policies:

Section 8.1.4, Faculty Handbook – Preliminary Tenure Review

Procedure:

Please note that according to Section 8.1.4 of the Faculty Handbook, Preliminary Tenure Reviews of tenure-track faculty should take place during (not after) the sixth semester of the faculty member's tenure-track service.

The primary purpose of this review is to inform the faculty member and his/her 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 Committee for review within one month of the start of the sixth semester of service. The Departmental Committee considers the package and makes formal recommendations that are forwarded to the Department Head. The Department Head, in turn, reviews the dossier, the Departmental Promotion and Tenure Committee recommendation and makes his/her own formal recommendation. Upon completion of this process, the Department Head reviews the package, process and findings with their respective college Dean. The Department Head then meets with the candidate, provides him/her 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 various Committees, Department Head and Provost, please see Section 6.5 of the Procedures Manual.

The Office of Academic Affairs conveys the submission date by which the dossier should be submitted to the campus near the end of the Spring semester.

The content that 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 Modifications
Tenure/Tenure Track	Item 4 - Candidate statement should focus on career progress since beginning the CSM appointment. Item 10 – External evaluation letters should be omitted.

Last Revision:

May 30, 2017

6.5 DEMONSTRATION OF ATTAINMENT OF PROMOTION AND/OR TENURE CRITERIA, AND INSTITUTIONAL GUIDELINES FOR REVIEWERS

Governing Policies:

Section 8, Faculty Handbook – Promotion and Tenure

Procedure:

This section seeks to define clear expectations for CSM faculty members regarding Promotion and Tenure (P&T). It was drafted by a committee of faculty members, including the Provost, and approved by the CSM 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 CSM Faculty Handbook -- and use 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

Colorado School of Mines (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 promotion and tenure (P&T) discussed below are aligned with Mines' aspirations and allow for further specification at the College, Department, and Program levels.

II. University Expectations of T/TT Faculty Members Seeking Promotion and Tenure, and Example Evaluation Elements

The following expectations for promotion and tenure 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, College, 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 her/his 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 his or her record in meeting the criteria outlined here, not on time served. Length of service at CSM or elsewhere shall not be 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 the Dean.

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, 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, College, and Mines by teaching courses that are required by degree programs.

- 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 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, referees' reports and 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 appropriate for the discipline.
- 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.

<u>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:</u>

- Manuscript reviews for scholarly archival journals or peer-reviewed conference proceedings,
- Reviewing for professional organizations, funding agencies, or national labs
- Member of University, Departmental, or Program Committees,
- Organizer of sessions at a national or international professional meeting,
- 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, 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, College, and Mines by teaching courses that are required by degree programs.

- 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 appropriate breadth in the instructional assignments, including success at a variety of courses and at a variety of levels (lower-division undergraduate, upper-division undergraduate, and graduate).

- 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.

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

- Peer-reviewed archival publications, including journal articles, book chapters and monographs, and peer-reviewed conference presentations/publications. Candidates should provide supporting evidence (for example, referees' reports and 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 appropriate for the discipline.
- 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.

<u>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:</u>

- Chair of a University, College, Departmental, or Program committee,
- History of service on University, College, 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 a national or international professional meeting,
- Officer, or other substantive leadership position, in a national or international professional organization,
- 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 his/her 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 his or her 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 may 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.

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, College, 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.

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.

Diversity and Equal Opportunity:

- Research suggests 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 minorities 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.[1]

- 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

[1] Examples include: Trix, F, and C. Psenka (2003) "Exploring the color of glass: letters of recommendation for female and male medical faculty," Discourse and Society, 14(2), 191-220. See also, Watson, C. (1987) "Sex-linked differences in letters of recommendation," *Women and Language*, 10(2), 26-8. See also: http://www.pnas.org/content/109/41/16474.abstract#aff-1; and http://www.povertyactionlab.org/publication/are-emily-and-greg-more-employable-lakisha-and-jamal-field-experiment-labor-market-discr and http://www.sciencedaily.com/releases/2013/04/130403122019.htm and http://web.mit.edu/faculty/reports/pdf/promotionandtenure.pdf

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.

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 CSM or elsewhere shall not be 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, College, 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.

A. Expectations of Departmental P&T 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 is 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. 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 Academic Affairs 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 disciplinary-specific norms and expectations.

- The DH is in a unique position with regard to P&T because he/she interacts with all faculty members in a manner that is not typical for faculty-faculty interactions, and is also responsible for implementing important departmental/College/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, College, or University goals, participation in interdisciplinary programs, or other information deemed relevant.

- In each annual review, the DH should clearly assess progress towards P&T. This assessment must be based on a compilation of previous years' efforts and outcomes, and not simply the annual FDR.

- The DH should meet at least once per year with untenured tenure-track faculty members, in addition to the annual review, 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.

C. Expectations for the University P&T 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. One 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

Currently, per the Faculty Handbook, the deans participate in the P&T process as advisors to the Provost at the final evaluative stage of the decision process. The Faculty Senate has proposed to the Handbook committee a more direct role in the decision process. Once this role has been clarified by the Handbook Committee, the Faculty Senate should update this paragraph to delineate expectations for UPT not otherwise addressed in the Handbook.

Last Revision:

June 16, 2016

6.6 DEMONSTRATION OF ATTAINMENT OF PROMOTION CRITERIA FOR LIBRARY FACULTY

Governing Policies:

Section 8, Faculty Handbook – Promotion and Tenure

Procedure:

FROM: Librarian Promotion Criteria Working Group

TO: Library Director; Promotion & Tenure Committees

RE: Criteria for Library Faculty promotion

DATE: February 2015

We are providing these guidelines to help the Library Director prepare promotion dossiers that make the best case for the candidates from the Library, and to provide promotion committees and department heads/college deans with information to support a balanced view of the candidate's application for promotion.

It is generally understood in a research university that production of new knowledge is the paramount criterion for promotion. The application of criteria for librarians cannot and should not share this emphasis. It is more appropriate and even crucial that a librarian contributes to the improvement of the practice of academic librarianship rather than exhibit a body of research. Promotion to higher ranks is based on the career growth of the librarian, as demonstrated by a balance of professional and scholarly activities and service, with professional activities holding the largest proportion of the candidate's accomplishments.

All library faculty are expected to apply disciplinary knowledge and innovation to local practice. However, due to typical division of duties in an academic library, no one candidate is expected to exhibit achievement in all of the other areas of librarianship/professional accomplishments listed below. Consider any or all that are applicable:

1. Librarianship/Professional Accomplishments

- Creative and/or innovative application of knowledge to local practices, grounded on expertise in academic librarianship.
    - External recognition for professional expertise including awards, consultancies, etc. Include the
- Project management, grants, or gifts in the academic library environment. Include:
    - Scope of your project, goals and objectives, resources.
    - Impacts of this project on library mission, outcomes.
- Teaching and/or development of information skills:
    - Information, including student course evaluations, that will assist the committee to determine teaching effectiveness and student learning (e.g. class visits, input from students and instructors, participation/use numbers, awards).
    - New courses, activities, or guides to information resources in appropriate media.
    - Creativity in instruction, as demonstrated by local innovations, adaptation of instructional content for local audiences, implementation of workshops, student-oriented seminars, exhibitions, displays.
    - Instructional books or other materials considered as a teaching and/or research contribution.
- Research/subject-specific knowledge. Include:

- Evidence of expertise in point-of-need support for students and faculty, including progressive development of subject expertise relevant to academic programs.
- Ability to connect library resources with users and interpret user needs, demonstrated by improvement of services, collaborative research with faculty and students, or user needs assessment.
- Development of resources to support research/curriculum needs in appropriate media; for example, subject-based guides, web resources, reference works, seminars, etc.

- Resource/collection management.
  - Demonstrated ability to develop collection resources to support the university's curriculum and research needs, including user needs assessment, usage data, and collection level evaluations.
  - Development of consortia or partnership arrangements. Include the impacts of these activities on the library and campus.
  - Management of services from external vendors and publishers, including creating efficiencies in work flow; partnering to develop new products, interface modifications, and contract negotiations and implementation.
- Access/data management:
  - Demonstrated impact on access to resources, including activities to assess users' needs and the level at which those needs are met, metadata statistics, etc.
  - Rankings, awards, or consultation roles defining skill level for metadata creation or data management.
  - Level of expertise in project management with data imports/exports, system configuration, or migration according to industry standards and local practices.
  - Scope of access/data management projects, including impacts on the library and campus.

2. Publications & Research

- Quality of journals in which the candidate has published his/her work. Include:
  - Level of journal importance—Top tier, second tier, etc.
  - Quality or impact indicators, publisher's reputation.
- In academic librarianship, identify other avenues used to disseminate scholarly work (e.g.: presentations at conferences or workshops, blogs or wikis).
  - Level of importance, scope of audience—Top tier, second tier, etc.
  - Quality or impact indicators, publisher's reputation.
- In the list of publications, clearly identify works that are peer reviewed.
- Define the average expected number of publications per year of a library faculty
- Identify the level of scholarly contribution to the discipline (include reviews, use statistics, etc.) for works in academic librarianship of:
  - Reference works, for example indexes, compilations, encyclopedias, databases, annotated bibliographies.
  - Interdisciplinary works: Works that apply aspects of librarianship to other disciplines.
  - Descriptive/analytical works based on collections, practices or assessment.
  - Software, interface design, classification systems, innovative processes.

- Critical or review contributions to communications media (e.g., journals, newsletters, websites).
- Presentations at professional conferences, workshops, special programs, etc. Identify scope of audience (regional, national or international audience) and impacts on the discipline.

- Internal research reports grounded in the discipline's literature.
  - Describe scope of your research, including goals and objectives, resources.
  - Identify the impacts of your research on library mission. Include outcomes.

3. Service

- Level of effort and impact in serving in local, regional, national, and international committees, editorial boards, panels, review teams, conference planning groups, etc. Include:
  - Scope of activities for your position.
  - Describe outcomes, service awards, recognitions, etc.
- Level of effort and impact of service to the Library, Mines community, and the public.
  - This could include committees, task forces, or service to local, state, private or public organizations.
  - Describe your contributions and outcomes.
- Library/university administrative assignments. Describe scope of activities and outcomes.
- Development of policies, bylaws, guidelines, or standards. Describe level of involvement and impact on the organization.
- Outreach, including participation as a representative of the library/university at public events, presentations to public and private civic organizations, K-12 education groups.

Noteworthy contributions should be highlighted and elaborated on for the consideration of the Committee. The candidate should explain the nature and significance of each emphasized contribution.

4. Reference Letters

- Provide information on the process used to solicit references (how the list was prepared; how many were requested; whether the candidate provided any input; names that were used from the candidate-provided list).
- Any information on the reviewers who wrote the letters (their credentials and standing in the field, etc.)

Last Revision:

October 24, 2016

SECTION 7
ACADEMIC PROCEDURES

7.1 FINAL EXAMINATION SCHEDULING AND REVIEW WEEK/DAY POLICIES

REVIEW DAY (Friday prior to Final Examination):
No required class meetings, examinations or activities may take place on the Friday immediately preceding final exams for the fall and spring terms. At their own discretion, faculty members may hold additional office hours or give a review session on Review Day provided these activities are strictly optional. This day has been created as a break from regularly scheduled and/or required academic activities to allow students to prepare for their final examinations as they see fit.

FINAL EXAMINATIONS AND REVIEW WEEK (Last Week of Classes) POLICY:
Final examinations are scheduled by the Registrar. With the exception of courses requiring a common time, all finals will be scheduled on the basis of the day and the hour the course is offered.

In general, all final examinations will be given only during the stated final examination period and are to appear on the Registrar's schedule. Faculty policy adopted in January 1976 provides that no exams (final or otherwise) may be scheduled during the week preceding final examinations week (Review Week), with the possible exception of laboratory exams. The scheduling by an individual faculty member of a final exam during the week preceding final examinations week is to be avoided because it tends to hinder the students' timely completion of other course work and interfere with the schedules of other instructors. Faculty members should not override this policy, even if the students in the class vote to do so.

Academic activities that are explicitly disallowed by this policy include:

- Scheduling an in-class examination (final or otherwise, with the possible exception of laboratory exams) for any course during the week preceding final exams
- Scheduling an early make-up final examination - unless the student needs to miss the regularly scheduled final for school related business (athletics, school-related travel, etc…) and requested by the student and approved by the instructor.
- Assigning a take-home final examination that is due during the week preceding final exams – unless the student needs to miss the regularly scheduled final for school related business (athletics, school-related travel, etc.) and requested by the student and approved by the instructor.

Academic activities that are allowable during the week preceding final exams include:

- The introduction of new materials
- Laboratory finals
- Required homework
- Required in-class assignments such as quizzes or worksheets (NO EXAMS)
    - Quizzes are shorter exercises that take place on a fairly regular basis (e.g. 15-30 minutes in duration, 6-10 times a semester).
    - Exams are major exercises that take place only a few times a semester (e.g. 50-120 minutes in duration, 2-4 times a semester).
- Major course assignments such as Final Presentations or Term Projects provided the assignment was assigned at least 4 weeks in advance or was clearly indicated in the course syllabus (Presentations must not be scheduled in conflict with regularly scheduled courses in departments outside of the one scheduling the presentation.)

- Take home finals (provided they are not due prior to finals week).
- Make-up exams for students who miss a scheduled exam in the prior week due to emergency, illness, athletic event, or other CSM sanctioned activity (provided this absence has been approved by the Associate Dean of Students)

Note, these policies apply ONLY to undergraduate courses. Students enrolled in graduate courses, undergraduate or graduate, are bound by policies – if any – published in the Graduate Catalog.

Last Revision:

April 17, 2019

7.2 COMMON EXAMINATION POLICY

A unified "Common" Exam Policy fulfills several objectives, including: improving student mastery of learning outcomes, 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, allowing for more than one hour or seventy-five minutes for examination periods, accommodating competing programmatic needs, managing limited space, 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 exams for all undergraduate and graduate level 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 from 7:30 pm to 9:00 pm. Exams are limited to these 90 minutes.
- No course may request more than 4 evening common exam periods in a single semester. (Final exams are not included as part of this limitation.)
- 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.

Specific classes that are exempted from this policy are graduate courses that meet the following criteria.

- Graduate courses that are numbered 6xx.
  Or,
- Graduate courses that have fewer than 20 registered students. For these courses, outside-of-normal-class-time exams should be specifically scheduled in the course syllabi that are provided to the students at the beginning of the semester. If the exam is not scheduled in the syllabus, it should be scheduled a minimum of three weeks in advance and be at a time that does not significantly inconvenience any of the students registered in the class.

Any graduate course that is co-taught with an undergraduate course and schedules examinations for both the undergraduate and graduate versions of the course at the same time is not exempted from this policy.

<u>Student considerations:</u>
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.

<u>Course conflicts:</u>
Regularly scheduled evening courses that meet partially or completely during the time of 7:30pm – 9:00pm, 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.

<u>Scheduling common exams:</u>
During the week immediately following pre-registration for the following regular semester, the Registrar's Office sends an open solicitation to Department Heads and schedulers, copying all faculty, asking if professors would like to take advantage of the evening common exam time during the following semester.

This call for exam requests will be accompanied by the academic calendar for the upcoming term, along with other important dates that are normally avoided; a list of rooms used for common exams with seating capacities and furniture type; the actual current enrollment of the future courses; and the course enrollment of the previous parallel term for the purposes of accurately estimating total enrollment in courses, especially those that will be receiving enrollments from new freshmen and transfer students. For fall courses with large incoming populations (new freshmen and transfer students), the previous year's enrollment numbers will be used. New courses with no previous enrollment history will use actual enrollments.

Faculty who wish to utilize the common exam period have until Monday of Dead Week at 5:00pm to reply with the following information (for the fall 2015 semester, we will work with faculty to build the common exam schedule by early August):

- Course Name(s) and Number(s)
- Number and section identifiers of the specific sections that will take the common exam
- Total number of students in all sections taking the common exam (or close estimate based on previous parallel term for courses with large incoming student populations)
- If faculty wish to "bundle" courses, all courses bundled together should be submitted in a single request. For instance, if Calculus I (700 students) and Calculus II (600 students) wish to offer their exams on the same evenings using every other seat or other sharing scheme, then they should submit a single request, with a total number of 1300 students.
- Seating preference (exam seating every other seat, or regular seating at every chair)
- First, second, and third preferences for days and rooms.

This information will be collected by means of an electronic form or survey through a link provided by the Registrar's Office.

The Registrar's Office then begins the process of assigning common exam time slots, beginning with the course or bundle of courses with the largest number of students. Exams will be scheduled in the order of the highest enrollment to the lowest. This process continues until either (a) all evening common exam seats are full, or (b) all courses desiring the use of the evening common exam period have been scheduled, whichever comes first. The Registrar's Office will work diligently with departments and professors in an attempt to minimize conflicts for students. If a conflict is recognized by the Registrar that affects a large number of students, the Registrar may decline to schedule an exam on a particular day.

<u>Exam conflicts:</u>
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.

<u>Final schedule and hard deadlines:</u>
The initial schedule will be posted after all of the priority requests have been slotted or time slots are full.

Faculty may make "late" (arriving after the Monday of Dead Week deadline) requests. All such late requests will be accommodated, as possible, in the order in which they are received, but only after all on-time requests have been filled.

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:
This out-of-class Common Exam Policy was developed during the Spring 2015 semester with the following Exam Committee members participating:

Lara Medley	Registrar, Exam Committee Chair
Tom Boyd	Associate Provost
Brendan Casias	CSM graduate student, GSG representative and CSM alumni
Dahl Grayckowski	Associate Registrar for Operations
Gerrald Greivel	Faculty, Department of Applied Mathematics and Statistics
Tyrel Jacobsen	CSM undergraduate student and USG representative
Dan Knauss	Faculty, Faculty Senate President
Ken Osgood	Faculty, Faculty Senate representative and McBride Honors Program Director
Todd Ruskell	Faculty, Department of Physics
Colin Terry	CASA Director
Richard Wendlandt	Faculty, FOCSA representative

Last Revision:

July 24, 2015

7.3 EXAMINATION PROCTORING FOR STUDENT ATHLETES

Faculty may choose to allow student athletes on excused absences for competing at athletic events to complete examinations while they are off campus. The following process for allowing examination proctoring of athletes who are competing at varsity-level events has been proposed by the Faculty Oversight Committee on Sports and Athletics, vetted by the Faculty Senate and endorsed by the Provost.

Student responsibilities:

1. Notify professor as soon as an exam is announced if you are unable to attend. This notification is in addition to the semester or post-season email notice of missed class time that is sent from Athletic department.
2. If professor, at his/her discretion, decides that a proctored exam on the road is permissible in place of a makeup, notify the Associate Athletics Director (AAD) and appropriate Head Coach about it.
3. Student takes (or AAD emails) the Exam Proctoring Form to the Professor with as much information as possible (at least first 3 lines) filled out ahead of time.

Professor responsibilities:

1. Complete and return the Exam Proctoring Form to Athletics (AAD).
2. Clearly state testing conditions (allowances and restrictions) and
3. Procedures for administering the exam on the form.
4. Prepare and deliver exams to AAD in advance of team travel. Exams should be in a sealed envelope and clearly labeled with respect to class, section (if multiple sections exist for class), and the student(s) taking the exam. When multiple Student-Athletes are involved, the instructor should provide one copy of the exam for each student with the student's name written in. Each exam should have an honor code statement for the student to sign and date.

Athletics Department responsibilities:

1. Ensure availability and appropriate number of qualified and trained proctors to administer exam(s) on the road. Priority for proctoring: academic faculty > athletics administrative staff >> coach.
2. Log-in receipt of exam from professor.
3. Establish chain of custody protocol for delivery of exam to proctor, administering exam on the road, receipt of exam from proctor after team returns, and return of exam to professor.
4. Return exam to Professor.
5. Survey student-athletes on proctoring procedures and effectiveness.

Proctor responsibilities:

1. Ensure absolute security and integrity of exam from time of pick-up from AAD through drop-off to AAD after team returns.
2. Sign an agreement from the examining department (if requested) regarding the testing conditions and procedures.
3. Provide appropriate testing environment (quiet, free from distractions or temptations, with required computer/internet access, etc.). Administering an exam while in transit, in a hotel lobby, etc., is not considered appropriate.
4. Safeguard, respect, and actively honor the professional and institutional commitment to education and integrity.
5. Clearly inform student(s) of the rules (including any instructions and guidelines sent by the professor).
6. Remind student(s) of the consequences of cheating.
7. During the exam:
    a. Seat students apart. Students with the same exam must be sitting far enough apart so that they cannot see each other's exams. Typically, this is accomplished by seating another student with a different exam between the two students.

b. Have the students stash their belongings – everything, other than clothing and allowed test implements - well away from them.
c. Be aware of and monitor resources allowed for use during the exam. If students are allowed a notecard, it would be prudent to collect the notecards even if this was not done during the exams administered on campus.
d. Be aware of and monitor restrictions on electronic equipment. No CORE AMS class allows the use of a calculator and electronic devices are strictly prohibited. Today's smart phones connect to the internet and their computational capabilities are particularly problematic and must be monitored. They should be nowhere on or around the student. Laps or seats are frequent hiding spots.
e. Restrict restroom visits to one student at a time.
f. The proctor should be in the testing environment at all times and maintain a presence by scanning the room and, on occasion, walking around the room. They should be looking for the mannerisms suggestive of academic misconduct. It is recommended that athletics staff who wish to proctor road exams observe how exams are conducted on campus to get an idea of best practices.
g. Strictly observe the timing and time constraints of the exam. Ideally, the road students would take the exam at the same time as CSM students so that cross-talk is minimized.
h. Discreetly reseat a student who might be looking at a fellow student's exam.
i. Remove any unauthorized materials as discreetly as possible.
j. If concerns arise: allow student to finish exam and talk privately with the student after the exam. Prepare written documentation of what was observed, your response to it, and what subsequently transpired, and pass these notes along to the instructor.
k. Take photos/movies of students during exam to show seating placement.
l. Do not try to answer student questions even if it's a point of clarification. Students should be told to list any assumptions they make and the grading professor will take this into account.

Last Revision:

July 16, 2014

CSM ATHLETICS – REQUEST FOR PROCTORING OF EXAM DURING TEAM TRAVEL

Student Name(s): _____

Class Information:

Class Name: _____

Class Number: _____

Instructor Information:

Instructor Name: _____

Instructor Phone Number(s): _____

Instructor Email: _____

Instructor Office Location: _____

Exam Information:

Preferred Exam Proctoring Date: _____, and Start Time: _____

(Note: due to travel and competition requirements the preferred start time may not be possible.)

Exam duration: _____

How do you prefer to handle clarification of test questions when needed?

_____

_____

Instructions for Proctor:

Materials allowed:

☐textbook ☐notes ☐equation sheet

☐calculator ☐computer ☐other (please provide details)

Other instructions:

_____

_____

_____ _____

Professor signature Date

(Return this form to Dixie Cirillo, Assoc. Athletics Director, dcirillo@mines.edu)

7.4 EMPLOYEE TUITION WAIVERS

Governing Policies:

Section 5.3, Faculty Handbook – Enrollment in CSM 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 $60 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 he or she wishes to register for on the application. Non-Degree Applications can be submitted online at the following sites:

- Undergraduate Non-Degree: http://www.is.mines.edu/registrar/Information.htm
- Graduate Non-Degree (all students holding an undergraduate degree must apply at the Graduate level): http://www.mines.edu/NonDegree_GS

Once the employee's Non-Degree Application has been submitted and he or she has been registered for classes, he or she will receive a confirmation via e-mail. The employee must then complete an Employee Tuition Waiver. The form is available at http://publicsafety.mines.edu/Faculty-Forms. 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 $60 technology fee associated with course registration. Courses taken by the spouse of a CSM 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 eligible employees may attend CSM at a reduced tuition rate. For additional information, refer to the Employee Benefits page on the Human Resources website, using the following link:

http://inside.mines.edu/Employee_Benefits.

All employees, spouses, and dependents using any of the benefits described above must pay the $60 technology fee associated with course registration.

Last Revision:

June 4, 2014

7.5 GUIDELINES FOR VISITING COMMITTEES

Procedure:

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

Purpose:
A Visiting Committee is an advisory body that is charged by the President to assess and facilitate programmatic and operational developments within an academic unit and to report its findings to 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, Dean, and academic unit head regarding programmatic and operational developments within the unit.

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. 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, department staff should not 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 or Dean, the Vice President for Research and Technology Transfer, and the President to select a final visiting committee. The Visiting Committee is a Committee that reports to the President, and as such he/she has final authority in approving Committee members.
3. Once Presidential 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 President's Office prepares and mails formal letters of invitation to the members identified on the list (a sample letter is attached)
5. The President's Office acknowledges all responses to the formal letter of Invitation and notifies the Department.

Scheduling Visiting Committee Visits:

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. Department staff should establish the availability of the President and the Provost prior to selecting a date by contacting the President's office. Visiting committees should normally be held during the months of September, October, November, January, February, March or April. The visits are normally 1 ½ to two days in length and should include opportunities for interaction with administration, students and faculty. Additionally, the Office of the President will coordinate a dinner event with the Visiting Committee. The department may be asked to schedule the travel for their visiting committee members and are responsible for preparing the appropriate travel forms for such travel.

Visit Agenda:
The Provost and President must approve the proposed agenda, and any materials sent to the Committee prior to these being sent. The welcome letter, approved agenda, and supplementary materials should be sent to committee members, and copied to the President and Provost, by the department head or Dean. The agenda for each Visit must include the following elements:

1. An initial meeting of the Committee with the President, the Provost, the Sr. Vice-President for Research and Technology Transfer, and the College Dean, (1 hour, usually 8:00-9:00 AM, in the Coors Boardroom). Department should arrange for coffee and pastries for this meeting.

2. A dinner at the President's home, to include the Committee, Provost, SVPRTT, College Dean, Department Head, and if space is available, selected faculty in the department. Because of space limitations, the Department should work with the President's Office to determine the number of additional faculty who may be included in the dinner invitation. The department/division should provide the President's Office with the names of each of the attendees, including spouses and guests. The President's Office will email invitations to the dinner approximately three weeks prior to the event, with an RSVP date of one week prior. In extremely rare instances, the Provost may host a dinner at another venue.

3. Various departmental meetings and activities, organized by the Department Head in consultation with Program Faculty. These normally include but are not limited to meetings with program faculty and students.

4. An exit meeting with the President, Provost, College Dean, Sr. Vice-President for Research and Technology Transfer (1 hour). Time should be allowed in the agenda for the committee to meet prior to the exit visit to discuss their recommendations to the CSM administration.

5. The initial meeting and exit meeting are normally held in the Coors Board Room, which may be reserved through the President's Office as soon as the draft agenda is prepared. Usually lunch boxes are provided to the committee and arranged by Department and include the President, Provost and SVPRTT.

Visiting Committee Information Packet:
Members of the Visiting Committee are provided materials in the form of a Visiting Committee Information Packet for their review prior to the visit. These materials should be provided electronically to each committee member. Format of the Visiting Committee Information Packet is provided below.

Please note, item 1.2 in the information packet which requires Dean and Provost's approval. Please find at the end of this section a sample set of questions which may be used for that item.

Visit Expenses:
The President's Office will provide travel reimbursement as appropriate to Committee members and financial support to cover all on-campus working meals. The Department must cover any other expenses. For travel reimbursement, the Department should contact the President's Office for spending authority to be included on TA and TE forms prepared by the Department for Committee travel (*Please look at Mines' travel policy at http://inside.mines.edu/UserFiles/File/PoGo/Policies/FIN/FIN_Chapter5.pdf.)*.

Visiting Committee Reports and Institutional Response:

1. The Visiting Committee should send its report directly to the President with a copy sent to the Executive Assistant of the President.

2. The President's Office will distribute copies of the report to the Dean, Provost, and the Department Head.

3. 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 President.

4. The Provost will work with the President to finalize the institutional response to the report.

5. The final version of the response is signed by the President and sent directly to each Committee member by the President's office. Copies are provided to the Provost, Dean, and Department Head.

6. The Committee's report and institutional response are shared with the Board of Trustees.

Last Revision:

October 16, 2018

Date

Dear :

I am writing to invite you to serve on the Visiting Committee for our *Department* at the upcoming meeting scheduled for *Date*.

As Colorado School of Mines evolves in the next decade this administration intends to build on the University's traditional strengths and shall seek new directions where appropriate in developing the programs that will ensure Mines is a strong and respected institution.

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 missions of that unit and the University. Visiting Committees provide the University with long-term programmatic direction, audit department programs and operations, and, as appropriate, assist with fundraising. Committee members are selected from nominees submitted by the academic units, the CSM Foundation, the CSM Alumni Association, and the administration. Your invitation is the result of this process.

As a Visiting Committee member you are invited to participate in one audit visit to review progress and future plans with respect to academic programs, research activities, and faculty and student development. Audit visits are scheduled for approximately one and one-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 report to present to the administration during an exit meeting. The formal report of the committee will be sent to me following the visit.

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 the School, 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,

Paul C. Johnson

cc: Dean
Department Head
Provost
VPUA

Last revision:
November 9, 2016

Visiting Committee Information Packet

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 with Dean and Provost)
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
2.1 Institutional Playbook (Required)
Provide link to the President's Institutional Playbook (i.e., Strategic Plan) (https://www.mines.edu/president/planning/)
2.2 Institutional Data (Required)
Provide link to Institutional Research data visualization website (https://ir.mines.edu/data-visualizations/)

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)

Visiting Committee Checklist

- ☐ Department or College constructs a list of seven to ten potential Committee Members, which should include titles, complete addresses, current email addresses and a brief biographical statement. Do not make commitments with potential committee members yet *(Approximately six months before the visit).*
- ☐ Forward list to the Dean and Provost.
- ☐ The Provost will coordinate with the Dean, the President, the Sr. Vice President for Research Technology Transfer (VPRTT), and Department Head to select a final Visiting Committee.
- ☐ When the Presidential approval of a Committee is conveyed to the Department. The Department Head or Dean will make initial and informal contact with the potential Visiting Committee members to gauge their interest in serving on the Committee.
- ☐ Interested potential members of the Committee list should be forwarded to the President's office and copied to the Provost.
- ☐ The President's Office prepares and mails formal letters of invitation to the members identified on the list (a sample letter is attached).
- ☐ The President's Office acknowledges all responses to the formal letter of Invitation and notifies the Department or College.
- ☐ The Department or College should establish the availability of the President and the Provost prior to selecting a date for the visit. They can do this by contacting the President's Executive Assistant.
- ☐ Department or College coordinates all logistics for the visit.
  - Visiting Committee Members' travel arrangements (please look at Mines' travel policies at: http://inside.mines.edu/UserFiles/File/PoGo/Policies/ACD/PM_Section10.pdf).
  - Lodging reservations and transportation.
  - Food arrangements if necessary.
  - Conference or boardroom reservations.
- ☐ Department or College prepares an agenda which needs to be approved by the Provost and President's Office. When ready please forward it to them.
- ☐ Department or College Prepares Visiting Committee Information Packet *(Eight weeks before the visit).*
- ☐ Academic Affairs provides Part 2 of the Information Packet *(Eight weeks before the visit).*
- ☐ Department or College delivers Information Packet for review to the Dean or the Provost appropriately. *(Four weeks before the visit).*
- ☐ The Dean and Provost provide collective feedback to the Department or College and works with them to submit a final copy to the President *(Two weeks and a half before the visit).*

- ☐ After presidential approval of the Packet, the Provost returns approved Packet to the Dean or Department Head so it can be forwarded to the President, Provost, VPRTT and the Visiting Committee Members (Two weeks before the visit).
- ☐ After the visit, the Committee will send its report directly to the President and his Executive Assistant , and his office will provide copies of it to the Dean, Provost, and the Department Head.
- ☐ The Provost will direct the College Dean and the Department Head to draft a response to the Visiting Committee report in a format approved by the President (After the Visit).
- ☐ The Provost will work with the President to finalize the institutional response to the report.
- ☐ The final version of the response is signed by the President and sent directly to each Committee member. Copies are provided to the Provost, Dean and Department Head.
- ☐ The Committee's report and institutional response are shared with the Board of Trustees.

Sample Set of Questions for Item 1.2

1. Overall, what are XXXX'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 XXXX is truly exemplary relative to 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 XXXX focus on when tracking their progress?
5. XXXX was only formed a few years ago – have benefits from the college structure emerged or are the programs largely self-isolated? Do you see opportunities that are being missed and could be realized with the college structure?
6. What opportunities are there for XXXX undergraduate programs to be distinct and differentiated from similarly-named programs at other institutions?
7. What opportunities are there for XXXX graduate programs to be distinct and differentiated from similarly-named programs 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 XXXX 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 XXXX faculty and students in evolution of the programs?
12. What opportunities are there for XXXX research programs to be distinct and more impactful? Do you consider the efforts to be largely isolated or collaborative?

Last Revision:

October 16, 2018

SECTION 8
FACULTY AWARDS AND EMERITUS STATUS

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

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. The Committee shall review the nominations and request full dossiers from the nominees' Department Heads of those they wish to consider further.

For all awards, the Faculty Awards Committee shall review the dossiers. With the exception of the Board of Trustees' Outstanding Faculty Award, the Committee makes decision, and recipients are announced at the April Faculty Forum. 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 Provost (Chair – ex officio non-voting), the Director for the Trefny Innovative Instruction Center (ex officio voting), the Associate Vice President for Research (ex officio voting), the past two-year recipients of each award, an undergraduate student representative, and a graduate student representative.

Last Revision:

September 22, 2016

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 CSM 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. With the exception of the CV, 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 ***undergraduate*** courses taught by the nominee over the past three years, and
4. a candidate CV.

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 Scores		Number of Students	Comments on Course Development and Innovations, Student Assessment, etc.
			901/1	911/10		

If requested by the Awards Committee, full dossiers for the candidate the following components:

1. all nomination materials listed above,
2. Department Head evaluations for the previous three years,
3. letters of support from colleagues and students, and
4. any other supplemental materials deemed relevant.

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

Last Revision:

March 1, 2016

8.3 MINES TEACHING AWARD (TENURED OR TENURE TRACK)

The purpose of the award is to recognize superior classroom instruction at either the ***undergraduate*** 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 CSM 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. With the exception of the candidate CV, 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, and a candidate CV.

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 Scores		Number of Students	Comments on Course Development and Innovations, Student Assessment, etc.
			901/1	911/10		

If requested by the Awards Committee, full dossiers for the candidate must include the following components:

1. all nomination materials listed above,
2. Department Head evaluations for the previous three years,
3. letters of support from colleagues and students, and
4. any other supplemental materials deemed relevant.

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

Last Revision:

March 1, 2016

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***. Any faculty member as defined in the Handbook, who has been with the school 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.

With the exception of the candidate CV, nomination letters should be no more than two pages in length, and must include of the following components:

1. a statement introducing the nominee and touching on 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***,
4. a statement defining the practices that candidate has developed and implemented that *align with the state-of-art in higher education*, and
5. a candidate CV.

If requested by the Awards Committee, full dossiers for the candidate must include the following components:

1. all nomination materials listed above,
2. Department Head evaluations for the previous three years,
3. letters of support from colleagues and students, and
4. any other supplemental materials deemed relevant.

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:

March 30, 2015

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.

With the exception of the candidate CV, nomination letters should be no more than two pages in length, and must include of the following components:

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

If requested by the Awards Committee, full dossiers for the candidate must include the following components:

1. all nomination materials listed above,
2. Department Head evaluations for the previous three years,
3. letters of support from colleagues and students that indicate a strong dedication and concern toward learning, and
4. a detailed project plan (five pages maximum) provided by the candidate that includes project description, milestones and deliverables.

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 Center for Teaching and Learning Effectiveness, participate in the New Faculty Orientation, interact with faculty who are launching new teaching initiatives or who are seeking advice, and 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:

March 23, 2015

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.

With the exception of the candidate CV, nomination letters should be no more than two pages in length, and must include of the following components:

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

If requested by the Awards Committee, full dossiers for the candidate must include the following components:

1. all nomination materials listed above,
2. Department Head evaluations for the previous three years,
3. letters of support from colleagues and students, and
4. any other supplemental materials deemed relevant.

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

Last Revision:

March 1, 2016

8.7 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 Fall and 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 CSM for 10 years or more. Only tenured faculty are eligible for "University Emeritus" status.

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 CSM
- Positions held at CSM 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 December Commencement Ceremony. Faculty receiving *University Emeritus* titles are recognized during the May Commencement Ceremony.

Last Revision:

June 30, 2014

SECTION 9
UNIVERSITY SERVICE: FACULTY CONFERENCE, COMMENCEMENT AND CONVOCATION

9.1 REQUIREMENT TO PARTICIPATE

Governing Policies:

Section 6.1.3, Faculty Handbook – Specific Faculty Responsibilities

Requirements and Process:

As defined in paragraph C of section 6.1.3 of the Faculty Handbook, faculty are required to attend the annual Faculty Conference in August and either the President's Convocation in August, or the December or May Commencement exercises.

Definition of Faculty:
In the context of participation in Faculty Conference, Commencement and Convocation, Faculty include Tenured and Tenure-Track Faculty, Teaching Faculty and Library Faculty. Faculty holding other titles (e.g. Transitional, Research, etc.) are not required to participate in these activities. Space permitting, these faculty may request permission to participate. Requests should be sent to Academic Affairs through the faculty member's respective Department Head.

Faculty Conference:
Faculty Conference is a beginning of the year welcoming and informational event organized by the Office of Academic Affairs and held on the afternoon of the first Monday immediately prior to the start of each Fall semester. Faculty Conference attendance is required of *all* faculty. In early August, the Office of Academic Affairs will distribute specifics regarding the current year's Conference.

Convocation:
Convocation is a ceremony that welcomes new undergraduate students to Mines and takes place on the Saturday immediately prior to the start of classes each Fall semester. Convocation ceremony is held in Bunker Auditorium (Green Center) and lasts about an hour. In early August, the Office of Academic Affairs will contact Departments and request the names of 2 to 3 faculty to participate in Convocation. Information specific to the current year's Convocation Ceremony will be provided participating faculty by the Office of Academic Affairs.

Commencement Exercises:
Mines holds formal Commencement ceremonies at the close of each regular (Fall and Spring) academic semester. Sometime near the middle of the Fall semester, the Office of Academic Affairs will contact Departments and request the names of 4 to 6 faculty to participate in the Fall Commencement Ceremony. All faculty who have not participated in Convocation of Fall Commencement are required to participate in the Spring Commencement Ceremony.

Faculty members who have advised PhD candidates participating in Commencement are expected to participate in the PhD Hooding Ceremony that occurs immediately prior to the Commencement Ceremony. If at all possible, Academic Affairs will schedule joint participation in the Commencement Ceremony and the PhD Hooding Ceremony. If this is not possible, faculty advisors participating in the Hooding Ceremony are not required to participate in an additional Commencement Ceremony.

In addition, Heads of Departments from which PhD candidates are participating in Commencement are invited to participate in the PhD Hooding Ceremony.

Last Revision:

June 24, 2014

9.2 COMMENCEMENT EXERCISES

Commencement Ceremony Information:

Locations: December Ceremony – Recreation Center Activity Room 2, May Ceremony – Marquez Hall Room MZ126

Time: Arrival – 8:30 to 9:00 am, Procession line up – 9:15 am, Ceremony start – 9:30 am.

Academic Regalia: Faculty participating in Commencement activities should be dressed in Academic Regalia. If faculty do not have their own regalia, they may borrow regalia from Academic Affairs. Regalia may be picked up prior to the Commencement ceremonies. Faculty *do not* need to reserve regalia.

PhD Hooding Ceremony Information:

Location: Green Center – Friedhoff Hall

Academic Regalia: Advisors and Department Heads should be dressed in Academic Regalia for the Hooding Ceremony. If you do not have regalia you should contact the Graduate Office to reserve regalia. Please include your height in your email to Suzanne. Prior to the Hooding Ceremony, you may pick up your reserved regalia in the Petroleum Hall Prep Room beginning at 7:00 am Commencement day. Within 30 minutes of the conclusion of the Commencement Ceremony, return gowns to the same location you received it.

Advisor Arrival for Hooding Ceremony: Arrive at Friedhoff Hall no later than 7:30 am to join your advisee and their guests for the buffet breakfast. The ceremony will begin promptly at 8:00 am.

Department Head Arrival for Hooding Ceremony: Arrive at Friedhoff Hall no later than 7:30 am. If space is available, please feel free to join your advisee and their guests for the buffet breakfast. If space is not available, a separate table will be provided for Department Heads. The ceremony will begin promptly at 8:00 am.

Advisor Participation: During the Hooding Ceremony, advisors sit with their advisees and guests for a buffet breakfast. At the appropriate time, candidates and advisors are lined up to the right of the stage. During line up the advisor will receive a hood to carry, draped on the right arm. As the candidate is called, the advisor should approach the stage allowing the candidate to proceed first. Continue to the center of the stage for hooding.

As the VPRTT calls each candidate to the stage, he/she will announce their information (dissertation title, hooding advisor, etc). During this reading, the advisor will hood candidate and shake hands. Guests may approach the stage to take photos at this time. When the announcement and hooding is complete both advisor and candidate exit the stage (advisors with multiple advisees will receive special instructions prior to the event), opposite of entry point and return to their assigned table.

Department Head Participation: At the appropriate time, Department Heads are positioned just in front of the first advisee from their department to receive a PhD Hood. Directly preceding the first candidate and advisee, the Department Head should walk on stage and take position next to the Provost and the Graduate Dean in the receiving line that congratulates each candidate and advisor. Immediately following the last advisee from their department, the Department Head should follow the candidate off stage.

Last Revision:

July 17, 2014

9.3 ABSENCES FROM COMMENCEMENT AND FACULTY CONFERENCE

Faculty members who are on sabbatical are not required to attend University activities. If a faculty member must excuse herself/himself from participation in Faculty Conference, Convocation or Commencement activities, she/he must make a formal written request to the Provost that has been approved by the faculty member's Department Head.

Last Revision:

June 24, 2014

SECTION 10
ACADEMIC AFFAIRS TRAVEL POLICIES

10.1 GENERAL TRAVEL INFORMATION

Governing Policies:

Fiscal Policies - http://inside.mines.edu/UserFiles/File/PoGo/Policies/FIN/FIN_Chapter_5.pdf

Procedure:

Travel policy and procedure information is maintained by the Controller's Office. All manner of travel information is available at http://inside.mines.edu/Accounts_Payable-Travel.

Travel Request and Authorization forms and Travel Expense Reports (TAs and TEs) are available on the CSM at http://inside.mines.edu/Accounts_Payable-Travel.

The TA form must be completed for all travel on CSM business, regardless of whether or not CSM funds are to be expended. Individuals traveling on CSM business may not be covered by CSM's insurance if a TA form has not been processed. Travelers are not required to submit TAs for trips less than 50 miles from CSM.

The TA, with the proper account code and signatures, should be initiated by the traveler in order for it to arrive in the Travel office a minimum of one week prior to the date of departure. A detailed purpose and justification must be shown on the TA. The form must be signed by the traveler, the Department Head, and the fund manager for the fund(s) listed.

The approval of the TA is as defined in the Signature Policy. The Dean must approve TAs for Department Head travel. The Provost, or his/her designee must approval all international travel, and any travel using Provost/Academic Affairs funds. The final approving authority shall forward the approved TA to Travel Office.

When a traveler completes his/her trip, the Travel Expense (TE) portion of the required form must be completed, again whether or not CSM funds are used. The TE portion should be approved as defined in the Signature Policy.

For additional information please refer to the Travel website referred to above or contact the Travel Office at (303) 273-3274

Last Revision:

September 23, 2014

10.2 PETROLEUM INSTITUTE SEMESTER POLICY AND GUIDELINES FOR FACULTY

This policy applies to full time academic faculty from the Colorado School of Mines ("CSM") who as a part of their normal academic duties are assigned by CSM to the Petroleum Institute in Abu Dhabi ("PI"). For purposes of this policy, full-time academic faculty are defined as persons holding the following ranks:

- Instructor
- Lecturer
- Senior Lecturer
- Assistant Professor
- Associate Professor
- Professor

Purpose

The Colorado School of Mines and the Petroleum Institute in Abu Dhabi are engaged in a project to develop a new university dedicated to education and research in the sciences and technologies that support the petroleum industries in the Arabian Gulf region. As a part of this academic partnership, CSM is bound contractually to assist the PI in developing curriculum for its undergraduate and graduate degree programs. To this end, it is desirable and mutually beneficial that CSM faculty be encouraged to spend an academic term at the PI teaching and developing curriculum. While on assignment at the PI, the CSM faculty member will not engage in any administrative duties.

Faculty who are eligible for sabbatical leave may apply to the PI for sabbatical placement following the normal guidelines as outlined in the CSM Faculty Handbook (Section 10.10). From time to time, faculty who either are not eligible for sabbatical leave or choose not to use sabbatical for this purpose may elect, at the discretion of the PI and CSM, to be assigned from CSM to the PI for up to one semester. This policy addresses the terms and conditions of such appointments.

Procedure for Application

CSM faculty wishing to apply under this policy must first obtain a letter of invitation from the Chief Academic Officer of the PI. The CSM faculty member must then write a brief proposal that describes the proposed activities during the time spent at the PI. This proposal must stress the benefits that will accrue to both the faculty member and CSM as a result of this appointment. The Department Head of the applicant's department will be required to endorse the faculty member's application, including an explanation of how the applicant's duties will be covered in his/her absence. The endorsed proposal will be forwarded to Academic Affairs, and if deemed meritorious, the proposal will be approved by the Provost and forwarded to the Board of Trustees for final approval. Upon return from the PI, the faculty member shall submit a report to the Board, including a summary of his or her activities while on assignment at the PI and the benefits derived by the faculty member and CSM.

Remuneration

A CSM faculty assigned to the PI will be paid by CSM, and will remain a full-time member of the academic faculty of CSM with all of the rights and privileges pertaining thereto. The faculty member will continue to accrue PERA benefits. CSM will invoice the PI for the faculty member's salary, benefits, and institutional overhead at the off-campus rate.

Last Revision:

July 2, 2014

10.3 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 establishes guidelines and expectations that students, and faculty leading students, must follow while on university-sanctioned or funded travel abroad.

Definitions

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

Faculty Sponsor(s): is any CSM employee (e.g., academic faculty, administrative faculty, research faculty, adjunct faculty, student employee) 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 CSM while students under their sponsorship travel abroad.

Non-Sponsored Activities (group or individual) include:

- Travel that has no connection to the School of Mines or its educational, research, and services activities. Examples include personal travel (vacation), mission/service trips that are unaffiliated with a CSM organization, and any other travel not described in the definition of *Sponsored Activities*.

- Travel that is organized by an entity other than CSM, even when participants are recruited through CSM student organizations or other on-campus marketing efforts, as long as CSM 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 field trips);

- Travel organized on behalf of a registered student organization or athletic team;

- Activities funded in whole or in part by the School of Mines (e.g., CSM 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 CSM that is raised by student organizations through fundraisers and contributions from other CSM 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. CSM assumes no responsibility for non-sponsored activities as defined in this policy.

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. In addition, the Director of the Office of International Programs may require completion of a waiver of liability for the *non-sponsored* portion of the travel.

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

Oversight Authority for Ensuring Policy Compliance

The Director of the Office of International Programs (OIP) has primary responsibility for approving sponsored activities and ensuring policy compliance for these activities. Processes, procedures and documentation required for ensuring OIP oversight of, and obtaining OIP approval for international travel involving students are available on the OIP website.

Policy

All student travel to international destinations related to sponsored activities must comply with the following requirements.

Approval Requirements: To be approved as a sponsored activity, the proposed activity must meet the following set of minimum requirements:

- Activity must have a Faculty Sponsor(s),

- The intent of any sponsored activity must be aligned with appropriate institutional, programmatic or student organization objectives. Appropriateness must be documented by the Faculty Sponsor and certified by the sponsor's direct supervisor. The Director of OIP shall require this documentation and certification as a condition of institutional approval of the sponsored activity. The Director shall refer to the Associate Provost instances in which he/she perceives there may be a lack of alignment in the proposed activity so that the Associate Provost can work with the faculty sponsor to ensure appropriate institutional alignment.

- Sponsored activities that include absences from regularly scheduled classes must receive excused absence permission from the Associate Dean of Students as per the Excused Absence Policy (Academic Affairs Procedures Manual, Section 7.2).

- In cases of a sponsored activity involving a group of students traveling with a faculty sponsor, at least two Faculty Sponsors must accompany the group. If the group is mixed gender, Faculty Sponsors must also be of mixed gender.

- Participants, students and Faculty Sponsors, must provide appropriate itinerary documentation, contact information, insurance coverage, safety and emergency planning, and/or liability waiver requirements. Specific requirements may vary depending on the nature and location of the travel and the international travel experience of the students and Faculty Sponsors involved. The Director of the OIP has authority to define the specific requirements for each sponsored activity.

- 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 Director of the OIP as soon as possible. CSM will not approve any sponsored activities in a location for which the US State Department has issued a warning that orders departure of US dependents and non-emergency

personnel; recommends that US citizens depart the country; or advises US citizens against travel to the country.

These restrictions will apply through the date of departure. If such a warning comes into effect after the student's departure, the University reserves the right to end its sponsorship at that time, and 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.

- In crafting individual volunteer or experience-based programs, or Faculty Sponsored group activities, students and faculty sponsors are strongly encouraged to seek out and work with recognized Governmental or Nongovernmental Organizations (NGOs), or in the case of students employed privately (i.e., interns), companies. These organizations can not only provide access to meaningful opportunities abroad, but can also provide significant support services that help meet the requirements of this international travel policy. The Director of the OIP can assist faculty and students in vetting the services provided by NGOs toward compliance with these policies.

- CSM expects students to have access to 24/7 support while on a sponsored activity. When Faculty Sponsors travel with students, the Sponsor often provides this support. As such CSM does not, in general, encourage spouses or family members to accompany the Sponsor. In the event a spouse or family member is to travel with the group, either in an official or unofficial capacity, the Sponsor must notify the Director of OIP prior to embarking on the trip.

  Sponsors traveling with a non-CSM affiliated spouse or family member must understand and acknowledge that his/her first obligation is toward the instruction, support, and safety of the students with whom he/she is traveling. In addition, travel for the nonaffiliated spouse or family member may not be funded or supported in any way through the use of CSM resources.

Further, students, Faculty Sponsors and the Director of OIP have the following responsibilities in the conduct of these activities.

Student Responsibilities include:

- *Registration:* Participation in a sponsored activity requires continuous registration at CSM. This will often be accomplished in the form of a zero-credit hour x97 study abroad course.

- *Travel Orientation:* Participation in pre-departure orientation events sponsored by the OIP is mandatory.

- *Conduct:* While abroad, all students are expected to abide by the laws of their host country. Additionally, CSM regulations concerning student conduct also apply to students studying abroad. Students may be disciplined through CSM conduct code procedures for incidents that occur off campus.

- *Safety:* While Faculty Sponsors have overall organizational, instructional and safety responsibilities, all CSM students traveling abroad on a sponsored activity have primary responsibility for ensuring their own safety. Before departure all students traveling abroad must provide the Office of International Programs written acknowledgement of their understanding of the risks of such travel. Additionally, students under the age of 18 must additionally obtain parental acknowledgement of an understanding of the risks involved.

While on a sponsored activity, students seeking travel outside of the primary destination must notify the Faculty Sponsor of such travel and provide the Sponsor appropriate contact information.

- *Insurance Coverage:* All students participating in a sponsored activity are required to have medical insurance comparable to CSM's student health insurance that will provide coverage from U.S. departure until return to the U.S. including in the country(ies) in which they will be traveling.

- *Itinerary and Contact Information:* As directed by the Director of the OIP, students traveling abroad on individual sponsored activities must provide a detailed itinerary of their trip. If this itinerary changes during the trip, the student must contact the Director of the OIP and the Faculty Sponsor(s) with updated itinerary and contact information.

Faculty Sponsor Responsibilities include:

- *Planning:* Faculty Sponsors have primary responsibility in planning sponsored activities, whether group or individual, and engaging the Director of the OIP to ensure all pre-departure institutional processes and procedures have been met.

- *Travel Orientation:* Faculty sponsors are strongly encouraged to actively participate in pre-departure orientation events sponsored by the OIP. In addition, Faculty Sponsors have primary responsibility for preparing students for the academic and cultural challenges associated with the sponsored activity.

- *Academic Oversight:* When academic credit is to be awarded for the sponsored activity, it is the primary responsibility of the faculty sponsor(s) to establish the outcomes by which credit will be awarded, assess student achievement in meeting these outcomes, and assign final grades for the credit awarded.

- *Travel Support:* Faculty Sponsors, whether traveling with participants or not, provide frontline support to students participating in a sponsored event. As such, Faculty Sponsors should be immediately available to students, either directly or electronically. Faculty Sponsors, working in close coordination with the Director of the OIP, should be in direct contact with students and be able to contact the Director or his/her delegate, at any time, in case of emergency.

  Faculty Sponsors are advised to consult State Department warnings upon initiating plans for travel and continue to do so regularly until the activity is completed.

- *Incident Reporting:* As required by the Director of the OIP, the Faculty Sponsor shall report to the Director in a timely and complete manner the specifics of any incidents that have occurred involving students or the Faculty Sponsor.

Director Responsibilities include:

- *Pre-Trip Planning:* The Director shall provide timely guidance, advice and support to Faculty Sponsors and students planning international activities.

- *Planning and Approval Process:* The Director shall publish and maintain the formal process and timelines by which students and Faculty Sponsors shall be granted institutional approval for a sponsored activity.

- *Orientation:* The Director will provide pre-departure orientation events.

- *Registration:* The Director and the Office of the Registrar will work together to ensure existence of, and student registration in appropriate academic courses while students are abroad.

- *Travel Warning Monitoring:* The Director shall monitor pertinent travel warnings and provide faculty sponsors of travel warning updates in a timely fashion.

  The Director will provide a list of students/faculty abroad with contact information and other information as appropriate (allergies, medications, etc.) to CSM administrative units including police, finance, CCIT, the Provost's office and others as necessary to know in the event of an emergency.

- *Travel Support and Monitoring:* The Director shall maintain itinerary and contact information for all students and Faculty Sponsors engaged in sponsored activities. He/she will act as the 24/7 institutional contact in case of emergency, advise the institution of situations as they arise, and provide support to students and Sponsors in the event of an emergency.

- *Incident Tracking and Reporting:* The Director shall be the institutional lead for documenting, tracking and reporting incidents that occur while students and Faculty Sponsors are abroad. The Director shall maintain internal documentation of these incidents, inform constituents – including parents and students – as needed, use these to inform proposed policy recommendations, and report as required by the Clery Act and any other applicable federal or state regulations.

Last Revision:

September 23, 2014