

**University of Colorado Anschutz Medical Campus College of Nursing (CU Nursing)
Primary Unit Criteria
for Tenure-Track and Tenured (TT/T) Faculty**

I. PREAMBLE

- A. These Primary Unit criteria are written standards for comprehensive review, tenure, promotion, and post-tenure review, as required by Article V of the Regents Laws of the University of Colorado,¹ and by University of Colorado Administrative Policy Statement 1022.² The criteria describe the nature and measures of achievement in teaching, independent scholarship^{3, 4} and leadership and service. These criteria shall be employed in all promotion, tenure and reappointment evaluations of tenured and tenure track faculty.

II. THE PRIMARY UNIT and APT COMMITTEE (i.e., PRIMARY UNIT EVALUATION COMMITTEE)

- A. The Primary Unit is composed of all tenured and tenure-track faculty at the College, and is responsible for all recommendations to the dean concerning comprehensive review, tenure, and promotion.⁵ Many of these functions are delegated to the elected faculty APT Committee under CU Nursing bylaws, including initial appointment reviews for faculty on all tracks and all promotion reviews for IRC faculty; other functions including tenure review, reappointment or promotion review on the tenure track, and extensive review are reserved to the full Primary Unit, and require a vote of the Primary Unit after an initial draft letter is prepared by the elected faculty APT Committee.⁶ As further described below, only tenured faculty may vote on tenure decisions, and only faculty at the same rank or higher may vote on promotion to Associate or Full Professor within the tenure track. All other Primary Unit activities and meetings will include all tenure-track faculty regardless of rank. This document includes the standards used by the CU Nursing Primary Unit and APT Committee⁷ for appointment, promotion, and tenure determinations including guidelines/descriptions of “meritorious” and “excellent” ratings. The Primary Unit faculty, APT Committee, and any other persons making recommendations concerning comprehensive review, tenure, promotion, and post-tenure review shall strictly follow and apply these procedures and standards.

¹ Regents of the University of Colorado. (2018). Article V: Faculty (version: final). Policy 5C and Policy 5D. <https://www.cu.edu/regents/policy/5>

² University of Colorado. (2020). APS 1022: Standards, Processes and Procedures for Reappointment, Tenure, Promotion, and Post-Tenure Review. <https://www.cu.edu/ope/aps/1022>

³ University of Colorado. (2020). APS 1043: Independent Teaching and Scholarly/Creative Work. <https://www.cu.edu/ope/aps/1043>

⁴ American Association of Colleges of Nursing. (2018). Defining scholarship for academic nursing. <https://www.aacnnursing.org/News-Information/Position-Statements-White-Papers/Defining-Scholarship-Nursing>

⁵ University of Colorado. (2020). APS 1022: Standards, Processes and Procedures for Reappointment, Tenure, Promotion, and Post-Tenure Review. <https://www.cu.edu/ope/aps/1022>

⁶ CU Nursing Bylaws. (2020). *Section 1.0 – Name, Purpose, Members, and Officers of the General Faculty.*

⁷ CU Nursing Bylaws. (2020). *Section 1.0 – Name, Purpose, Members, and Officers of the General Faculty.* This document defines the role of the Primary Unit and the delegation of some reviews to the elected faculty APT Committee.

CU Nursing Primary Unit Criteria

Approved by CON Primary Unit Faculty: 05/11/2020

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- B. Each tenure-bearing unit also must have a Post-Tenure Review (PTR) Evaluation Committee, comprised of members of the tenured faculty.⁸ For CU Nursing this is the subset of elected APT Committee members who are tenured, or other tenured faculty members who may be appointed by the APT Committee to complete individual reviews. According to CU Nursing bylaw 1 the Primary Unit delegates responsibility for routine PTR to this PTR committee; in the case of Extensive Review the PTR committee prepares an initial recommendation on behalf of those Primary Unit faculty eligible to vote, who then meet to finalize the recommendation. During the year in which a faculty member is undergoing PTR, they may not serve on the PTR evaluation committee;⁹ therefore, APT members or other Primary Unit members who are themselves undergoing PTR in a particular academic year may not participate in *any* of the PTR case reviews that come before the committee during that academic year. The procedures for PTR are also included in this document.
- C. The APT Committee and all reviewers making recommendations concerning initial appointment, anticipatory guidance, and promotion on the tenure track shall strictly follow and apply these procedures and standards described herein. Although the annual merit review process and the peer review of faculty by the APT Committee are separate, these criteria for “meritorious” and “excellent” work are also intended to support supervisors conducting annual reviews.¹⁰ The APT Committee oversees the annual merit review process and is responsible for reviewing any faculty appeals about the annual merit review process.
- D. Any eligible Primary Unit faculty who serve on the APT Committee will have their votes counted as part of the single level of review completed within the College of Nursing, which includes APT Committee’s draft letter, discussion at the Primary Unit meeting, and the Dean’s recommendation. Any Primary Unit faculty who serve on committees at other levels of the process (e.g., Vice Chancellor’s Advisory Committee) may not participate in any aspect of discussions at the first level of review within the college. As described below, Primary Unit faculty generally should not serve on the Dean’s Review Committee within the college, which is intended to provide an independent assessment.
- E. Consistent with Regent Law and Policy,^{11,12,13} these Primary Unit Criteria have been crafted to provide a fair and unbiased evaluation and to measure the performance of tenure track candidates in the primary unit. This document has been jointly drafted by the faculty governance bodies of CU Nursing, approved by the Primary Unit, and reviewed and approved by the Dean and reviewed by the Office of the Provost as noted in the footer.
- F. These criteria are subject to the current laws and actions of the Regents and to other relevant university policies and procedures and described on the Board of Regents, University System,

⁸ University of Colorado. (2020). APS 1022: Standards, Processes and Procedures for Reappointment, Tenure, Promotion, and Post-Tenure Review. <https://www.cu.edu/oape/aps/1022>

⁹ University of Colorado. (2020). APS 1022: Standards, Processes and Procedures for Reappointment, Tenure, Promotion, and Post-Tenure Review. <https://www.cu.edu/oape/aps/1022>

¹⁰ University of Colorado. (2012). APS 5008: Performance Ratings for Faculty. <https://www.cu.edu/oape/aps/5008>

¹¹ Regents of the University of Colorado. (2010). Article 1: University of Colorado Legal Origin, Mission, Policy Framework and Ethical Conduct. <https://www.cu.edu/regents/law/1>

¹² Regents of the University of Colorado. (2010). Article 4: Academic Organization and Program Planning. <https://www.cu.edu/regents/law/4>

¹³ Regents of the University of Colorado. (2018). Article V: Faculty, Law and Policies. <https://www.cu.edu/regents/policy/5>

and Campus Policies and Procedures webpages, and as may be subsequently revised. These criteria are meant to be applied in a manner consistent with current Regent and University rules. In the event of conflict, Regent rules shall govern. Additionally, these criteria are responsive to APS 1022¹⁴ and relevant University Campus Policy¹⁵ requiring that each unit (department or program serving as a tenure home) reflect its unit-specific features, approved in accordance with the unit's bylaws and by the Dean.

- G. As described in the criteria below, Primary Unit faculty are expected to contribute to multiple missions of CU Nursing, and also must demonstrate a clear trajectory of scholarship on topics that contribute to the expertise and reputation of CU Nursing. All faculty are expected to engage in scholarship, but to qualify for tenure or promotion on the tenure track a consistent record of tier 2 scholarship is required (see the separate CU Nursing Statement on Scholarship for the definition of "tier 2"). To ensure that faculty members have appropriate expectations about the track to which they are appointed, these Primary Unit criteria and procedures shall be made available by the elected tenured APT Committee Chair (who serves as Head of the Primary Unit¹⁶) to each new tenure-track faculty member at the time of initial hiring/appointment.^{17,18}
- H. The criteria below are leveled based on an expected progression of faculty after initial appointment (for policies about initial appointments, see the separate CU Nursing Faculty Hiring Policy). On the tenure track, faculty receive an initial limited appointment; they then must submit materials for a Comprehensive Review (also referred to as the "midpoint review" because it is usually completed in the 3rd year of a 7-year tenure clock); at the end of the full probationary period or sooner they submit materials for tenure and promotion to Associate Professor (tenure and promotion are one action); and as they continue to progress in their careers they may submit materials to be considered for full Professor. Associate or full Professors also must submit materials for Post-Tenure Review by the APT Committee every 5 years after receiving tenure.
- I. At all levels of progression, professional plans are developed by faculty members and their supervisors during the annual merit review process, and annual merit scores reflect progress toward the faculty member's individual plan. CU Nursing annual professional plans clarify expectations and identify goals for each faculty member, and take into account any documented differentiated workload agreements that may exist. Annual professional plans are intended to assist faculty as they move through the varying levels of evaluation associated with comprehensive review, tenure and promotion review, and post-tenure review. Annual professional plans therefore should incorporate individual goals for a particular year, but also should address overall professional progression based on the APT criteria.

¹⁴ University of Colorado. (2020). APS 1022: Standards, Processes and Procedures for Reappointment, Tenure, Promotion, and Post-Tenure Review. <https://www.cu.edu/ope/aps/1022>

¹⁵ University of Colorado Anschutz Medical Campus. (2021). Campus Administrative Policy 1049: Reappointment, Tenure, and Promotion Review. <https://www.ucdenver.edu/policies>

¹⁶ CU Nursing Bylaws. (2020). *Section 1.0 – Name, Purpose, Members, and Officers of the General Faculty.*

¹⁷ University of Colorado. (2020). APS 1022: Standards, Processes and Procedures for Reappointment, Tenure, Promotion, and Post-Tenure Review. <https://www.cu.edu/ope/aps/1022>

¹⁸ University of Colorado Anschutz Medical Campus. (2021). Campus Administrative Policy 1049: Reappointment, Tenure, and Promotion Review. <https://www.ucdenver.edu/policies>

III. **COMPREHENSIVE REVIEW (aka “Midpoint Review” for the tenure-track probationary period)**

As described in the CU Nursing Faculty Hiring Policy, tenure-track Assistant Professors are hired under a limited appointment prior to tenure, for a probationary period that may not exceed 7 years without special approval by the Provost/Chancellor. University APS #1022¹⁹ and Campus Policy #1049²⁰ require that Assistant Professors undergo comprehensive reappointment review during this probationary period, before they may be considered for tenure and promotion to Associate Professor. At CU Nursing this step is generally known as the “midpoint review” because it takes place at about the midpoint of a tenure-track faculty member’s probationary period, and is used to determine whether a pre-tenure faculty member will be reappointed with the expectation of tenure review at its end, or receive a 1-year terminal appointment.

- A. Each tenure-track faculty member shall be evaluated in a comprehensive manner at least once during the tenure probationary period apart from the review for award of tenure. The comprehensive review process typically begins at the end of the 2nd year of tenure-track full time service, and is completed in the 3rd year APT review cycle.
- B. The Primary Unit is responsible for mentoring junior tenure-track faculty members during their probationary period.²¹ This is accomplished through individual mentoring plans established to support the faculty member’s teaching and scholarship activities, and through coaching on APT policies and procedures by the tenured Co-Chair of APT Committee, as the designee of the Head of the Primary Unit. Department chairs (or their equivalents – e.g., Division Chairs at CU Nursing), formal mentors, and others designated by the Dean (e.g., the Associate Dean for Research and Scholarship) have a responsibility to counsel junior tenure-track faculty on their individual professional plans, and the Dean must make mentoring resources available to support junior tenure-track faculty.
- C. The comprehensive review is a critical appraisal designed to identify a tenure-track candidate’s strengths and weaknesses in sufficient time to allow promising candidates to improve their records before the evaluation for tenure.
- D. At CU Nursing, the comprehensive review requires evaluation by 3 external reviewers, no more than 1 of whom is from the candidate’s list, unless a different minimum is set by campus policy.²² Reviews will not be shared with the candidate. Reviewers generally should be at a higher level than the candidate – e.g., Associate or full Professors. The APT Committee will also request a letter of evaluation from the candidate’s primary supervisor; like the external letters, this letter of evaluation will not be shared with the candidate.
- E. The candidate *may* request additional letters from other internal or external reviewers (optional), if he or she believes these reviewers will provide an important additional perspective – e.g., about the candidate’s teaching, the candidate’s leadership and service work, or the

¹⁹ University of Colorado. (2020). APS 1022: Standards, Processes and Procedures for Reappointment, Tenure, Promotion, and Post-Tenure Review. <https://www.cu.edu/ope/aps/1022>

²⁰ University of Colorado Anschutz Medical Campus. (2021). Campus Administrative Policy 1049: Reappointment, Tenure, and Promotion Review. <https://www.ucdenver.edu/policies>

²¹ University of Colorado. (2020). APS 1022: Standards, Processes and Procedures for Reappointment, Tenure, Promotion, and Post-Tenure Review. <https://www.cu.edu/ope/aps/1022>

²² University of Colorado Anschutz Medical Campus. (2021). Campus Administrative Policy 1049: Reappointment, Tenure, and Promotion Review. <https://www.ucdenver.edu/policies>

candidate's funded work on a grant or project where a faculty member in another school was the PI.

- F. The Comprehensive Review letter is drafted by the tenured members of the APT Committee on behalf of the Primary Unit and includes an initial recommendation. The full Primary Unit faculty then vote on that recommendation and request edits if needed, and the Primary Unit's recommendation is forwarded to the Dean's Review Committee and then to the Dean. The Dean makes the final determination about reappointment on the tenure track.
- G. The faculty member shall be informed in writing of the results of the comprehensive review, which is one of two outcomes: (a) the faculty member is reappointed to a tenure-track position, or (b) the faculty member will be given a one-year terminal appointment.^{23,24} The Dean and the tenured Co-Chair of APT Committee will meet with the faculty member to advise him/her of the results of the Comprehensive Review and to develop a plan for the next appointment period (whether 3-year or 1-year). This final tenure track reappointment and contract will conclude with application for tenure and final decision by the Board of Regents on whether to award tenure. Faculty who are not awarded tenure will be given a one-year terminal appointment.
- H. CU Nursing's Comprehensive Review and reappointment for Assistant Professors is based on the criteria delineated in this document, which take into account the candidate's demonstrated teaching ability and progress toward excellence in teaching; the scholarly contributions the candidate has made to date in terms of innovative methods, theories, and findings; the candidate's record of service to date; and the prospect for continued growth and contribution to the field in these areas. Evaluation of the dossier takes into consideration a number of different criteria, listed below. Consult attachment A for specific criteria.

Overall criterion for Teaching: A record of progressive teaching effectiveness, leadership in education, and collegiality contributing to the teaching mission of CU Nursing. Excellence in teaching also requires scholarship in the area of one's teaching expertise.

Overall criterion for Scholarship: A record of tier 2 scholarly work, progressive expertise in an area of research or practice, leadership in advancing research or practice related to one's area of scholarship, and collaborative activities in research or practice that contribute to the development of disciplinary and professional knowledge.

Overall criterion for Leadership and service: A record of progressive participation and accomplishments in institutional, professional, and community service.

IV. REAPPOINTMENT, TENURE and PROMOTION (RTP)

- A. The concept of tenure is intended to preserve and enhance the University's excellence and its function in developing the human intellect. Tenure contributes to this objective by ensuring the academic freedom of individual faculty members; it frees them to teach, inquire, create, publish, and serve with fewer constraints than when untenured.²⁵

²³ University of Colorado. (2020). APS 1022: Standards, Processes and Procedures for Reappointment, Tenure, Promotion, and Post-Tenure Review. <https://www.cu.edu/ope/aps/1022>

²⁴ University of Colorado Denver | Anschutz Medical Campus. (2019). Campus Administrative Policy 1029: Standards for Notice of Non-Renewal for Faculty Other Than Those with Tenured or at-will Appointments. <https://www.ucdenver.edu/policies>

²⁵ American Association of University Professors. (2020). Tenure. <https://www.aaup.org/issues/tenure>

- B. Tenure is not an entitlement based upon length of service nor is it awarded on a record that is merely competent and satisfactory. Thus, the achievement of tenure is never automatic. Tenure is granted on the basis of demonstrated performance and achievement of specific criteria that are delineated in subsequent sections.^{26,27}
- C. Tenure may be awarded only to faculty members with at least meritorious performance in each of the three areas of teaching, scholarly/creative work, and leadership and service (to the college, university, profession and/or public); and also, above and beyond this minimum requirement, a rating of excellent in either teaching or scholarly/creative work.²⁸ The CU Nursing *Statement on Scholarship* gives benchmarks for tier 2 scholarly activity and describes the four types of scholarly or creative work that are typically included in the discipline of nursing.²⁹ A faculty member's professional leadership and service and/or clinical activities should be weighed into any decision regarding tenure, but such activities in the absence of significant accomplishments in both teaching and scholarship are not an adequate basis for tenure.^{30, 31}
1. *Assistant Professors:* For Assistant Professors, the issue of tenure and promotion is one action requiring one recommendation.
 2. *Associate Professors:* Review for promotion to Associate Professor occurs at the same time as the tenure review. There is no consideration for promotion to Associate Professor separate from consideration for tenure.
- D. *External Evaluations:* The candidate will be asked to provide the names of potential external evaluators. At CU Nursing, tenure review requires evaluation by 6 external reviewers, no more than 2 of whom are from the list recommended by the candidate, unless a different minimum number is required by campus policy.³² Reviews will not be shared with the candidate. Reviewers generally should be tenured and should be at a higher level than the candidate – e.g., Associate or full Professors, or should have specific content expertise that is necessary for completing an effective review. Emeriti faculty may act in role of external reviewer if they were previously tenured (e.g., they may have surrendered tenure on retirement), as long as they meet the other criteria of rank and have not had direct collaborations or supervisory relationships with the candidate.
- E. *Supervisor Letter:* The APT Committee will also request a letter of evaluation from the candidate's supervisor; like the external letters, this letter of evaluation will not be shared with the candidate.

²⁶ University of Colorado. (2020). APS 1022: Standards, Processes and Procedures for Reappointment, Tenure, Promotion, and Post-Tenure Review. <https://www.cu.edu/ope/aps/1022>

²⁷ University of Colorado Anschutz Medical Campus. (2021). Campus Administrative Policy 1049: Reappointment, Tenure, and Promotion Review. <https://www.ucdenver.edu/policies>

²⁸ Regents of the University of Colorado. (2018). Article V: Faculty. <https://www.cu.edu/doc/article-5-policy-5-finalpdf>

²⁹ CU Nursing. (2020). *CU Nursing Statement on Scholarship*. Attachment to the faculty bylaws of the appointment, promotion, and tenure (APT) committee.

³⁰ University of Colorado. (2020). APS 1022: Standards, Processes and Procedures for Reappointment, Tenure, Promotion, and Post-Tenure Review. <https://www.cu.edu/ope/aps/1022>

³¹ Regents of the University of Colorado. (2018). Article V: Faculty. Policy 5D, Section 5.D.2.(A)(1). <https://www.cu.edu/regents/policy/5>

³² University of Colorado Anschutz Medical Campus. (2021). Campus Administrative Policy 1049: Reappointment, Tenure, and Promotion Review. <https://www.ucdenver.edu/policies>

- F. *Choice of Evaluative Criteria for Promotion and Tenure:* If new or revised primary unit criteria have been adopted during a faculty member's tenure probationary period, the faculty member may choose to be evaluated for tenure based on the new criteria or the criteria in place at the time of appointment.³³ Faculty must declare in their cover letter which set of criteria should be used for their review, at the time they submit their promotion materials to APT Committee. When a faculty member is evaluated for promotion to full Professor, the current primary unit criteria shall apply.
- G. *Demonstrating Teaching Impact beyond the Institution:* A recommendation of tenure based on excellence in teaching must include multiple means of teaching effectiveness, and demonstrated achievement at the campus, local, national, and/or international level that furthers the practice and/or scholarship of teaching and learning beyond the faculty member's immediate instructional setting.³⁴ To be considered excellent, scholarship in the area of teaching must be of equivalent rigor to typical scholarship in other areas.
- H. *Effort or promise of performance* shall not be a criterion for excellence or meritorious performance in *tenure* decisions. Instead, demonstrated past performance and outcomes are required.³⁵
- I. *The Tenure and Promotion Review Process* normally begins on July 1. Candidates' recommended list of potential external reviewers is due on August 1, and their complete dossiers are due in the Faculty Affairs Office by October 15 each year. Final dossiers (reviewed by the primary unit) and related materials for candidates are due in the Office of the Provost in January each year. Additional review occurs at the campus and university levels, and tenure decisions are not final until voted on by the Regents. In most cases, changes of appointment type, promotion, or tenure are effective on the first day of the next fiscal year.
- J. *Tenure Probationary Period:* The tenure probationary period shall begin when the faculty member is first appointed to the rank of Assistant Professor or a higher rank. A recommendation on tenure shall be made after a probationary period of continuous full-time or full-time equivalent service of not more than 7 years, unless an extension (usually made in 1-year increments) has been approved by the dean and chancellor or the chancellor's designee and is made in accordance with University and/or Campus policies.³⁶
- K. *Eligibility for Promotion from Assistant to Associate Professor:* Associate Professors should meet all criteria for Assistant Professor including the doctoral degree appropriate to their field, as well as considerable successful teaching experience, and increasing accomplishment in scholarly work, and leadership and service to CU Nursing, the University, the profession, the community, or the public.

Promotion to Associate Professor with tenure requires that the candidate demonstrate and clearly document a record of tier 2 scholarly activity that indicates the potential for sustained

³³ University of Colorado Anschutz Medical Campus. (2021). Campus Administrative Policy 1049: Reappointment, Tenure, and Promotion Review. <https://www.ucdenver.edu/policies>

³⁴ Regents of the University of Colorado. (2018). Article V: Faculty. Policy 5D, Section 5.D.2.(B). <https://www.cu.edu/regents/policy/5>

³⁵ Regents of the University of Colorado. (2018). Article V: Faculty. Policy 5D, Section 5.D.2.(C). <https://www.cu.edu/regents/policy/5>

³⁶ University of Colorado Anschutz Medical Campus. (2021). Campus Administrative Policy 1049: Reappointment, Tenure, and Promotion Review. <https://www.ucdenver.edu/policies>

accomplishment throughout her/his career. Candidates for tenure and promotion to Associate Professor are expected to have demonstrated at least meritorious performance in each of the three areas of teaching, scholarly/creative work, and leadership and service to the University and the faculty member's profession and demonstrated excellence in either teaching or scholarly/creative work.³⁷

- L. *Eligibility for Promotion to Professor:* There is no standard or typical time at which this promotion consideration occurs, and promotion to full Professor is never required; however, in general an application for promotion to full Professor is made after the initial 5-year post-tenure review has been successfully completed. Professors should have the doctoral degree appropriate to their field or its equivalent, and (A) a record that, taken as a whole, is judged to be excellent; (B) a record of significant contribution to both graduate and undergraduate education, unless individual or departmental circumstances can be shown to require a stronger emphasis, or singular focus, on one or the other; and (C) a record, since receiving tenure or promotion to Associate Professor, that indicates substantial, significant, and continued growth, development, and accomplishment in teaching, scholarly/creative work, and leadership and service.

V. WEIGHING THE EVIDENCE FOR TENURE

- A. Tenure is based on a pattern of performance and achievement in teaching, scholarly/creative work, and leadership and service over the probationary period. Evidence must clearly indicate that the faculty member has made significant accomplishments to date – i.e., tenure is based on actual performance, not on promise or potential future work.³⁸
- B. Candidates for tenure must demonstrate at least meritorious performance in teaching, scholarly/creative work, and leadership and service as evidenced by attainment of criteria for “meritorious” performance within each of these missions. Candidates for tenure must be judged to have further achieved “excellence” in either teaching or scholarly/creative work. The evidence must show clearly that the candidate is one of the very best in his or her field, and that the candidate’s special competence, leadership and scholarship will bring added distinction and visibility or otherwise be of special value to CU Nursing and to the University.^{39,40,41}
- C. Where a recommendation is based on excellence in scholarly/creative work, the candidate’s work must include evidence of impact beyond the institution.⁴² The candidate must document significant quality (i.e., as judged by peers) and quantity of systematic inquiry that advances scientific, disciplinary, and/or professional knowledge. The candidate must demonstrate sustained contributions through tier 2 publications and presentations.⁴³ Team science contributions are also considered, and will be weighted based on the faculty member’s specific

³⁷ Regents of the University of Colorado. (2018). Article V: Faculty. Policy 5D. <https://www.cu.edu/regents/policy/5>

³⁸ Regents of the University of Colorado. (2018). Article V: Faculty. Policy 5D. <https://www.cu.edu/regents/policy/5>

³⁹ Regents of the University of Colorado. (2018). Article V: Faculty. Policy 5D. <https://www.cu.edu/regents/policy/5>

⁴⁰ University of Colorado. (2020). APS 1022: Standards, Processes, and Procedures for Reappointment, Tenure, Promotion, and Post-Tenure Review. <https://www.cu.edu/ope/aps/1022>

⁴¹ University of Colorado Anschutz Medical Campus. (2021). Campus Administrative Policy 1049: Reappointment, Tenure, and Promotion Review. <https://www.ucdenver.edu/policies>

⁴² Regents of the University of Colorado. (2018). Article V: Faculty. Policy 5D. <https://www.cu.edu/regents/policy/5>

⁴³ CU Nursing. (2020). *Statement on Scholarship*. Attachment to the faculty bylaws of the appointment, promotion, and tenure (APT) committee.

role on the team. The candidate should be able to identify their own unique or meaningful contributions as a member of the team, and ideally be able to present one or more first-authored papers that emphasize their own aspect of the overall team-based work product.

- D. Where a recommendation is based on excellence in teaching, the impact of the candidate must demonstrate achievement at the campus, local, national, and/or international level that furthers the practice and/or scholarship of teaching and learning beyond the immediate instructional setting.⁴⁴ There also should be evidence that the candidate has contributed creatively to teaching in the field through tier 2 scholarly work as described in the CU Nursing Statement on Scholarship.⁴⁵ Unusually positive student evaluations of teaching are important, but are insufficient by themselves to support a case for tenure based on excellence in teaching. A primary component for determining excellence in teaching is a substantial and sustained record of scholarship and leadership in teaching of equivalent rigor compared to candidates seeking excellence in scholarly/creative work.
- E. As also described in the CU Nursing Statement on Scholarship, candidates for tenure should present a substantial number of peer-reviewed publications (e.g., on average at least two peer-reviewed publications per year during the typical probationary period) and presentations at regional and national/international conferences (e.g., on average 1- 2 per year); in a significant number of these publications and presentations, the candidate should present evidence of major contributions (i.e., first or second author for Assistant Professors; first or senior/last author for tenure candidates who are already at the Associate Professor or Professor level).⁴⁶
- F. Although numerical benchmarks have been cited to provide direction to candidates' preparation for promotion and tenure during the probationary period, the quality and impact of one's scholarship shall be considered of greater importance than numbers per se in judging the candidate's overall record. Significant service or leadership contributions may strengthen a case for tenure, but neither may be the primary basis for a tenure recommendation.⁴⁷

VI. LEVELS of REVIEW FOR TENURE AND PROMOTION ON THE TENURE TRACK

- A. Tenure applications are reviewed at three levels. As further described in university Administrative Policy Statement #1022, (1) the First-Level Review is at the college level; this first level includes review by the Primary Unit, the Dean's Review Committee, and the Dean. Within the first-level process, the tenured members of the APT Committee draft a letter on behalf of the Primary Unit which includes an initial recommendation. The full Primary Unit faculty then vote on that recommendation and request edits if needed, and the Primary Unit's recommendation is forwarded to the Dean's Review Committee and then to the Dean. The entire review process at CU Nursing, including the initial review by APT Committee, the Primary

⁴⁴ Regents of the University of Colorado. (2018). Article V: Faculty. Policy 5D. <https://www.cu.edu/regents/policy/5>

⁴⁵ CU Nursing. (2020). *Statement on Scholarship*. Attachment to the faculty bylaws of the appointment, promotion, and tenure (APT) committee.

⁴⁶ CU Nursing. (2020). *Statement on Scholarship*. Attachment to the faculty bylaws of the appointment, promotion, and tenure (APT) committee.

⁴⁷ Regents of the University of Colorado. (2018). Article V: Faculty. Policy 5D. <https://www.cu.edu/regents/policy/5>

Unit meeting and vote, the Dean's Review Committee, and the final evaluation by the Dean, is considered as a single level of review.⁴⁸

- B. The Dean sends on the candidate's materials along with a recommendation to the Second-Level (2) Review completed at the campus level; it includes review by the vice chancellor for academic affairs' advisory committee, the vice chancellor for academic affairs (i.e., the Provost) and the Chancellor.
- C. The Third-Level (3) Review is at the university level; it refers either: (1) to the review by the president and vote of the Regents on a positive recommendation for tenure, or (2) to an appeal to the CU President of a negative decision for tenure by a candidate. Promotion decisions end at the second level of review and do not involve third-level review.⁴⁹
- D. Primary Unit meetings involving a vote will be held in-person or using synchronous communication technology to facilitate discussion. The discussion is an important part of the process, so only those Primary Unit members who are present at the meeting (in-person or via distance technology) may vote; those who miss the meeting forfeit their vote.
- E. Only tenured members of the primary unit may vote on tenure and only full Professors may vote on promotion to full Professor. In some cases, separate subsets of Primary Unit faculty may be qualified to vote on tenure versus promotion (e.g., in the case of promotion to full Professor with tenure, CU Nursing tenured faculty may vote on the tenure decision, but only full Professors may vote on promotion to full professor).
- F. Once the Primary Unit forwards its recommendation to the Dean; the Dean will forward the case to the Dean's Review Committee. Primary Unit faculty should generally *not* be appointed to the Dean's Review Committee. The Dean's Review Committee may include faculty from other schools and colleges, or emeriti faculty. The Dean's Review Committee conducts an independent review and aids the Dean in making a final recommendation.⁵⁰
- G. A faculty member may speak to and vote at only one level on a case undergoing review and may not be present during or contribute to or influence in any way discussion and vote on the case at any other levels of the process. If the faculty member's supervisor is also a member of the Primary Unit, then his or her letter submitted for the review packet will be counted as his or her vote in the Primary Unit tally of votes.
- H. Participants at all levels of the review process must maintain confidentiality and not discuss deliberations or decisions with either the candidate or anyone not participating in the same

⁴⁸ University of Colorado. (2020). APS 1022: Standards, Processes, and Procedures for Reappointment, Tenure, Promotion, and Post-Tenure Review. <https://www.cu.edu/ope/aps/1022>

⁴⁹ University of Colorado. (2020). APS 1022: Standards, Processes, and Procedures for Reappointment, Tenure, Promotion, and Post-Tenure Review. <https://www.cu.edu/ope/aps/1022>

⁵⁰ University of Colorado. (2020). APS 1022: Standards, Processes, and Procedures for Reappointment, Tenure, Promotion, and Post-Tenure Review. <https://www.cu.edu/ope/aps/1022> The description of the Dean's Review Committee in this policy says: "Where it is not possible for the review committee to consist of faculty members other than those in the primary unit, the dean will form a review committee that will include faculty from other schools or colleges. The dean shall determine whether the committee will be elected or appointed." So, in other words, Dean's Review faculty should not be from the Primary Unit. There do not seem to be requirements about reviewers having tenure or being full Professors, as there are for the Primary Unit vote.

level of review. The names of external reviewers are not to be revealed to the candidate at any time, whether or not they were selected from the list recommended by the candidate.

VII. POST-TENURE REVIEW and PERFORMANCE IMPROVEMENT AGREEMENTS

CU Nursing requires that faculty members continue to maintain an annual professional plan after their award of tenure, which is reviewed and updated as part of their annual merit review with their supervisor.

Post-tenure review (PTR) is also completed every 5 years after the award of tenure, to ensure that tenured faculty members are making sustained contributions to the discipline through teaching, leadership and service, and scholarship. In cases where a tenured faculty member is not meeting expectations, a formal Performance Improvement Agreement is required and is overseen by the APT Committee on behalf of the Primary Unit.

- A. *Timing of Post-Tenure Review.* Faculty who have received tenure from any academic unit within the University of Colorado system are required to complete a post-tenure review every 5 years. The post-tenure review clock begins at the time tenure is awarded, or in the year after the most recent post-tenure review was completed. The post-tenure review is then completed in the fifth year of the cycle. If a faculty member is promoted during one of these 5-year cycles (e.g., from Associate Professor to full Professor), the promotion review satisfies the post-tenure review requirement and resets the 5-year clock.⁵¹
- B. *Regular Post-Tenure Review.* A standard post-tenure review is completed by the PTR Evaluation Committee (i.e., the subset of elected APT Committee members who are tenured), based on a candidate's self-evaluation letter, annual merit evaluations, teaching evaluations, scholarly work, and other submitted materials. Regular post-tenure review does not require review by outside evaluators or a vote of the Primary Unit. The PTR Evaluation Committee will complete the review, present it to the full APT Committee, and forward it to the Dean for final determination.
- C. *Performance Improvement Agreements for Tenured Faculty Members.* Tenured faculty who are considered not to meet the criteria for rank based on Post-Tenure Review must work with the tenured Co-Chair of APT Committee (as the designee of the Head of the Primary Unit) to create a Performance Improvement Agreement.⁵² University-level administrative policy 1022 specifies that faculty members who receive a summary evaluation of "below expectations" (score of 1 or 2) in teaching, scholarly/creative work, or leadership and service must enter into a Performance Improvement Agreement. The Performance Improvement Agreement must include specific goals, timelines, and benchmarks that will be used to measure progress at periodic intervals. Usually, plans will be established for one year, but if deficiencies in scholarship warrant a longer evaluation period, the Performance Improvement Agreement may be set up for two years. Once developed via either process described above, the Performance Improvement Agreement will be presented to both the faculty member's supervisor and the APT Committee for input and review, and the committee or supervisor may request additional changes. If needed, the Dean

⁵¹ University of Colorado. (2020). APS 1022: Standards, Processes, and Procedures for Reappointment, Tenure, Promotion, and Post-Tenure Review. <https://www.cu.edu/ope/aps/1022>

⁵² University of Colorado. (2012). APS 5008: Performance Ratings for Faculty. <https://www.cu.edu/ope/aps/5008>

or Division Chair shall designate an advisor or resource office to provide advice to the faculty member and to the Co-Chair of the APT Committee on best practices and appropriate benchmarks.

- D. *Follow-up Review.* The faculty member's next annual merit evaluation must address whether the goals of the Performance Improvement Agreement have been met. The APT Committee will then also review the supervisor's merit evaluation of the faculty member, as well as the faculty member's annual review materials for that year, and will forward a written recommendation to the Primary Unit stating whether the goals of the Performance Improvement Agreement were met. Eligible Primary Unit faculty (i.e., same rank or higher) will then meet to vote on whether the terms of the Performance Improvement Agreement were met, and will forward their recommendation to the Dean. All steps in this review process must be completed before the end of the academic year after the post-tenure review process was initiated (or the year after the last review if a second year of a Performance Improvement Agreement was agreed upon). If it is determined that the goals of the Performance Agreement were met, the faculty member returns to a typical 5-year post-tenure review cycle.
- E. *Extensive Post-Tenure Review.* If the goals of the Performance Improvement Agreement are not met, an Extensive Post-Tenure Review is initiated. The extensive review must include the creation of a development plan, which sets goals for a 1-2 year period.⁵³
1. During extensive post-tenure review the PTR Committee may review the faculty member's annual professional plan or formal Performance Improvement Agreement (and any revisions or updates to the plan) and compare its goals to the actual achievements of the faculty member to date.
 2. In the case of extensive review, the candidate will be asked to provide the names of potential external evaluators, and the APT Committee will identify additional external evaluators. At CU Nursing, an extensive post-tenure review requires evaluation by 3 external reviewers, no more than 1 of whom is from the list provided by the candidate, unless a different minimum number is required by campus policy. Reviews will not be shared with the candidate. Reviewers generally should be at the same or a higher level than the candidate – e.g., Associate or full Professors. The APT Committee will also request a letter of evaluation from the candidate's primary supervisor; like the external letters, this letter of evaluation will not be shared with the candidate.
 3. The candidate *may* request additional letters from other internal or external reviewers (optional), if he or she believes these reviewers will provide an important additional perspective – e.g., about the candidate's teaching, the candidate's leadership and service work, or the candidate's funded work on a grant or project.
 4. After initial completion of the Extensive Review by the PTR Evaluation Committee, the committee's recommendation will be forwarded to the Primary Unit faculty for a vote on the recommended outcome of the Extensive Post-Tenure Review. The recommendation and results of the vote will be forwarded by the Head of the Primary Unit to the Dean.

⁵³ University of Colorado. (2020). APS 1022: Standards, Processes and Procedures for Reappointment, Tenure, Promotion, and Post-Tenure Review. <https://www.cu.edu/ope/aps/1022>

- F. *Possible Resolutions of an Extensive Review.* When the Extensive Review and development plan are completed, the Primary Unit may recommend (a) that the matter be closed and the faculty member returned to a typical 5-year post-tenure review cycle; or (b) that sanctions be imposed including the possibility of recommending revocation of tenure and dismissal.⁵⁴ The Dean then makes a final recommendation to the Chancellor (for most types of sanctions). If revocation of tenure is recommended by the chancellor, the recommendation will be forwarded to the Board of Regents; tenure decisions can only be made by the Regents.

VIII. EVALUATION OF FACULTY DURING PHASED RETIREMENT

During phased retirement, tenured faculty must continue to submit materials for annual merit reviews and post-tenure review on the regular schedule, and must continue to address all applicable sections of these Primary Unit Evaluation Criteria in their documentation. Faculty who may be on a Performance Improvement Agreement during phased retirement must continue to submit documentation related to their agreement. Faculty on phased retirement have a differentiated workload agreement negotiated with the Dean which will specify criteria for annual merit and post tenure review evaluations, and any APT Committee review conducted during phased retirement will take this differentiated workload agreement into account when evaluating a faculty member's performance against expectations set forth in the criteria.⁵⁵ Faculty in phased retirement are not expected to perform at the same level as a full time tenured faculty member therefore criteria for evaluation are modified based on faculty effort and circumstances.

IX. CU NURSING TENURE AND PROMOTION CRITERIA

- A. For reappointment and comprehensive review, faculty will be evaluated for their competence and performance as outlined in Attachment A. For faculty being considered for tenure and promotion to Associate Professor, see Attachment B. For promotion to full Professor, see Attachment C. The following overall criteria describe the requirements for each rank:

1. Initial Appointment as Assistant Professor

Faculty may be appointed at the Assistant Professor level on the tenure track when they hold a PhD in nursing or a related field, express a strong intention to pursue excellence in both teaching and scholarly work, express a commitment to leadership and service activities, and have an area of focus that is likely to support an overall reputation for excellence at CU Nursing.

- *Overall criterion for Teaching:* A beginning record of teaching effectiveness, potential for future leadership in teaching, collegiality contributing to the teaching mission of CU Nursing.
- *Overall criterion for Scholarship:* A beginning record of scholarly work, expertise in an area of research or practice, potential for future leadership in advancing research or practice,

⁵⁴ University of Colorado. (2012). APS 5008: Performance Ratings for Faculty. <https://www.cu.edu/ope/aps/5008>

⁵⁵ University of Colorado. (2014). APS 5016: Faculty Retirement Agreements. <https://www.cu.edu/ope/aps/5016>

and collaborative activities in research or practice that are likely to contribute to the development of disciplinary and professional knowledge.

- *Overall criterion for Leadership and service:* A record of effective participation in institutional, professional, and/or community service.

2. Tenure and Appointment or Promotion to Associate Professor

As described above, tenure and promotion to Associate Professor are one action, and faculty therefore cannot be hired into the tenure track at the Associate Professor level without also being evaluated for tenure. Faculty at the Associate Professor level must meet the following criteria, which also assume that all criteria for Assistant Professor have previously been met:

- *Overall Criterion for Teaching:* A sustained and consistent record of teaching effectiveness, leadership in education, and collegiality including substantial contribution to the teaching mission of CU Nursing.
- *Overall Criterion for Scholarship:* A sustained and consistent record of scholarly work, demonstrated expertise in an area of research or practice, leadership in advancing research or practice, and collaborative activities in research or practice that contribute to the development of disciplinary and professional knowledge.
- *Overall Criterion for Leadership and service:* A sustained and consistent record of accomplishments in leadership and service that includes providing effective contributions, demonstrating leadership, and facilitating others through collaborative service at the University, profession, and regional/national community levels.

3. Appointment or Promotion to Professor

Because tenure and promotion are one action, faculty cannot be hired into the tenure track at the full Professor level without also being evaluated for tenure. Faculty at the Professor level must meet the following criteria, which also assume that all criteria for Assistant and Associate Professor have previously been met. Full Professors must demonstrate national and international prominence in their field, which can either be through their education focus or scholarship focus. The faculty member is evaluated for an overall record of excellence based on national reputation, rather than for excellence in each specific area.

- *Overall Criterion for Teaching:* A sustained and consistent record of teaching effectiveness, leadership in education, and collegiality including substantial contribution to the teaching mission of CU Nursing with demonstrated impact beyond the University at the national or international level.
- *Overall Criterion for Scholarship:* A sustained and consistent record of scholarly work, demonstrated expertise in an area of research or practice, leadership in advancing research or practice, and collaborative activities in research or practice

that is recognized nationally/ internationally as contributing to the development of disciplinary and professional knowledge.

- *Overall Criterion for Leadership and service:* A sustained and consistent record of significant, sustained accomplishments in leadership and service that includes providing effective contributions, demonstrating leadership and facilitating others through collaborative service at the University, broader profession, and national/international community levels.

4. Post-Tenure Review

Post-tenure review criteria are based on rank at the time of the review. Separate criteria are therefore not provided here; Associate Professors should be reviewed under the Associate Professor criteria above, and full Professors should be reviewed under the criteria for Professor. These criteria should also be the basis on which the faculty member was evaluated in their annual merit review.

X. STANDARDS FOR EXTERNAL EVALUATORS

In specific types of reviews as described above, the primary unit requests evaluations in writing by scholars from outside the University and from various locations who are qualified to judge the candidate, using a solicitation letter in the college-approved format. Outside evaluation letters are mandatory for tenure and promotion decisions. Comprehensive reviews must also include external evaluations, as determined by the relevant campus policy.⁵⁶

A. The Process for Selecting External Evaluators

Selection of external evaluators is undertaken by the APT Committee on behalf of the Primary Unit; the candidate is given the opportunity to suggest possible evaluators and/or to indicate specific scholars whom the candidate feels should be excluded from consideration. Candidates must suggest appropriate internal or external candidates as described in the “packet submission policy for TT faculty” document.⁵⁷ In the case of reviews where external letters are required (Comprehensive Review, tenure, promotion to Associate Professor, promotion to full Professor, or Extensive Post-Tenure Review), the APT Committee will then identify additional potential letter-writers with appropriate qualifications and expertise, and will make final determinations about which and how many letter-writers to invite. Care must be taken to exclude any evaluators whose evaluations may constitute a conflict of interest, such as a dissertation director, co-author, or co-investigator on a funded project.⁵⁸

B. External Reviewer Packets

⁵⁶ University of Colorado Anschutz Medical Campus. (2021). Campus Administrative Policy 1049: Reappointment, Tenure, and Promotion Review. <https://www.ucdenver.edu/policies>

⁵⁷ CU Nursing. (2020). *Tenure-Track/Tenured Faculty Submission Requirements and Procedures for Reappointment, Promotion, Tenure, and/or Post-Tenure Review*. Attachment to the faculty bylaws of the appointment, promotion, and tenure (APT) committee.

⁵⁸ University of Colorado Anschutz Medical Campus. (2021). Campus Administrative Policy 1049: Reappointment, Tenure, and Promotion Review. <https://www.ucdenver.edu/policies>

The APT Committee will formally request external references and will send the following documents provided by the applicant to the selected reviewers.

Reviewer solicitation packets will include: a current curriculum vitae, a letter of self-evaluation, supporting materials related to the faculty member's declared area of scholarship, the CU Nursing criteria for rank and tenure, and all other documents listed in CU Nursing's packet submission policy.⁵⁹

External reviewers will be asked to address:

- the quality and quantity of the candidate's work,
- the impact of this work on the field,
- the degree of creativity and originality of scholarship,
- how the candidate compares with others in this field with similar training and experience, and
- how the candidate's performance would be categorized (below average, average, above average, or outstanding) compared to others in this field at a similar point in their careers.

XI. EARLY TENURE

Although the usual tenure clock is 7 years, and may not be extended beyond 7 years other than by special exception granted by the Dean and Chancellor (or Chancellor's designee), faculty may choose to apply for tenure early. The standards of performance that apply to faculty members on the seven-year tenure clock apply to faculty members who apply for early tenure. If a faculty member who applies for early tenure does not receive it, he or she may still apply for tenure in the final year of the probationary period as would have been originally expected.

Faculty who apply for early tenure must demonstrate a record of achievement in teaching, scholarly/or creative work, and leadership and service that is equal to the record expected of a faculty member coming up in the seventh year. Additional criteria or higher standards cannot be applied to candidates for early tenure. Department chairs (or their equivalents – e.g., Division Chairs at CU Nursing), formal mentors, and others designated by the Dean (e.g., the Associate Dean for Research and Scholarship) have a responsibility to counsel tenure-track faculty on the wisdom of application for consideration for early promotion or tenure. Candidates for early tenure cannot be held to a higher standard than other candidates for tenure.^{60,61,62}

⁵⁹ CU Nursing. (2020). *Tenure-Track/Tenured Faculty Submission Requirements and Procedures for Reappointment, Promotion, Tenure, and/or Post-Tenure Review*. Attachment to the faculty bylaws of the appointment, promotion, and tenure (APT) committee.

⁶⁰ Regents of the University of Colorado. (2018). Article V: Faculty. Policy 5D. <https://www.cu.edu/regents/policy/5>

⁶¹ University of Colorado. (2020). APS 1022: Standards, Processes, and Procedures for Reappointment, Tenure, Promotion, and Post-Tenure Review. <https://www.cu.edu/ope/aps/1022>

⁶² University of Colorado Anschutz Medical Campus. (2021). Campus Administrative Policy 1049: Reappointment, Tenure, and Promotion Review. <https://www.ucdenver.edu/policies>

XII. TENURE ON HIRE (APPOINTMENT)

If a candidate for tenure is a new hire, the letter(s) of recommendation for hire may be used in the tenure evaluation process in place of the external evaluation letters typically required.^{63,64} If necessary, the APT Committee may request additional letters in the tenure-with-hire evaluation process to meet the required number of reviewers. Faculty can request tenure at the time of hire if they believe they meet the criteria for rank at the Associate or Full Professor level. Having held tenure at another university is no guarantee that tenure will be awarded by the University of Colorado, and tenure decisions require action by the Board of Regents. Faculty therefore may only be offered a tenure-eligible position along with an appropriate rank at the time of hire; the actual award of tenure follows the usual process which must be initiated by the newly hired faculty member as soon as feasible.

XIII. GRIEVANCES FOR ADVERSE PROMOTION, TENURE, or POST-TENURE REVIEW DECISIONS

Faculty who are denied promotion or tenure, or who receive an adverse determination from a post-tenure review, and who believe there are serious procedural or factual errors in the case, may submit a grievance to the Faculty Senate grievance committee,⁶⁵ as specified in Article V.⁶⁶ Faculty have 30 days to file a grievance, with the possibility of a 30-day extension. Faculty who are considering submitting a grievance should contact the chair of the P&T committee, and any letters requesting investigation of a grievance should be sent to the chair of the P&T committee.

XIII. APPEALS PROCESS FOR “UNSATISFACTORY” RATINGS ON ANNUAL MERIT REVIEWS

Schools must provide an appeals process for faculty who receive an unsatisfactory score on their annual review⁶⁷ The annual review process also overlaps with peer review in the case of Post-Tenure Review, because tenured faculty members who receive two unsatisfactory scores during a 5-year period or who fail to meet the terms of a Performance Improvement Agreement must undergo Extensive Review at the next scheduled post-tenure review point.⁶⁸ Therefore, although the annual merit review and the APT Committee peer review of faculty are distinct, the two processes overlap and must use similar criteria in evaluating faculty members’ performance. Other faculty issues such as behavior, academic misconduct, malpractice, or other related matters not based on the criteria in this document, are usually not part of the specified annual and other faculty performance evaluations and typically are handled through separate disciplinary procedures.

⁶³ University of Colorado. (2020). APS 1022: Standards, Processes, and Procedures for Reappointment, Tenure, Promotion, and Post-Tenure Review. <https://www.cu.edu/ope/aps/1022>

⁶⁴ University of Colorado Denver | Anschutz Medical Campus. (2019). Campus Administrative Policy 1021: Hire With Tenure. <https://www.ucdenver.edu/policies>

⁶⁵ CU Faculty Senate Privilege and Tenure Committee. <https://www.cu.edu/privilegeandtenure>

⁶⁶ Regents of the University of Colorado. (2018). Article V: Faculty. Policy 5G: Faculty Grievance. <https://www.cu.edu/doc/article-5-policy-5-finalpdf>

⁶⁷ University of Colorado. (2012). APS 5008: Performance Ratings for Faculty. <https://www.cu.edu/ope/aps/5008>

⁶⁸ University of Colorado. (2020). APS 1022: Standards, Processes, and Procedures for Reappointment, Tenure, Promotion, and Post-Tenure Review. <https://www.cu.edu/ope/aps/1022>

At the time of hire each faculty member is assigned to a supervisor. The supervisor completes annual merit reviews according to the campus-approved HR process, which are distinct from the *peer* review conducted by the APT Committee and the Primary Unit. Because the supervisor is not functioning in the role of a peer reviewer, normal APT regulations like faculty being evaluated only by peers of a similar or higher rank, or tenure-track faculty only being evaluated by tenured faculty, do not apply to the annual merit review. However, in cases of discrepancy between a faculty member and his/her supervisor about the rating or summary evaluation, the faculty member may appeal the decision to the APT Committee. In that case the peer review process can be used to ensure an evaluation by appropriately qualified peers.

To appeal an annual merit rating of 1 or 2, the faculty member should write a letter to the APT Committee requesting a second-level review and explaining the reason for disagreement with the supervisor. Along with the letter, the faculty member should submit (a) his or her annual review documents as originally submitted to faculty affairs and the supervisor, and (b) the supervisor's written review including the merit score assigned. Faculty members may submit additional supporting materials that are relevant to the appeal. Faculty members must submit appeals within 60 days after receiving their merit score, and the APT Committee must complete its review within 6 weeks. The APT Committee may contact the supervisor or may request additional information from the supervisor or the faculty member. The APT Committee will then make a written recommendation as to whether the annual merit score should be revised, and will forward that recommendation to the Dean. In cases of continued disagreement between the supervisor and APT Committee, the Dean will be provided with both perspectives for consideration. The Dean's decision about merit scores is final.