

**CODE OF THE
DEPARTMENT OF MANAGEMENT**

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CODE OF THE DEPARTMENT OF MANAGEMENT

Section I. Mission and Objectives

A. Mission Statement

The Mission of the Department of Management is to provide high quality education at the graduate and undergraduate levels and to contribute to the generation and documentation of the knowledge related to management and decision making in private and public sector organizations. In addition, the Department will provide service to institutions and organizations within both the public and private sectors while being involved with extension activities which will assist in the dissemination of knowledge related to the various fields of management. The mission of the Department will be accomplished by achieving objectives in the following areas.

B. Statement of Objectives

1. Teaching and Advising Objectives

The Department shall seek to develop in our undergraduate and masters level students:

- a. A broad managerial knowledge.
- b. Specific competencies related to the management function.
- c. Skills and abilities necessary for making practical, ethical, and innovative management decisions in a global environment.
- d. An understanding of concepts and practices related to international issues.
- e. Critical thinking, communication skills, and problem-solving capabilities.
- f. Subject matter and technical expertise in both classical and contemporary management thought. An appreciation of diverse and multicultural perspectives.

- g. An informed perspective on curricular and career opportunities fostered through faculty advising and counseling.
- h. The professional attitudes and behaviors necessary for positions of responsibility in private and public sector organizations.

2. Research and Scholarship Objective

The Department faculty shall seek to:

- a. Develop and disseminate knowledge in management and related areas.
- b. Integrate both classical and contemporary management tools and techniques into a problem solving environment.
- c. Enhance our knowledge and awareness of emerging technologies in the field of management.
- d. Acquire grants and contracts which will help support the research efforts of the faculty.

3. College of Business and the University Community Objective

To fulfill their responsibilities as contributing members of the College of Business and the University community, department faculty shall:

- a. Participate in the shared governance of the College of Business and the University through service on college-level standing and ad hoc committees and through membership on and participation in university-level committees and programs. In addition, Department Faculty will participate in the other activities that comprise active leadership of a land grant institution.
- b. Cooperate with other units on campus to assist them in meeting mutually-identified needs.

4. Outreach Objective

The Department Faculty shall engage in activities that enhance the capability of Colorado State University to fulfill its land-grant responsibilities by:

- a. Continuing to offer credit courses to students in geographically-distant locations.

- b. Participating in professional organizations.
- c. Providing assistance to the business community in the form of workshops, training sessions, short courses and general business advice.
- d. Participating in local and regional organizations contributing to an improved quality of life in Fort Collins and Northern Colorado.

5. Measurement and Evaluation Objective

The Department Chair and the faculty will continuously monitor and evaluate the curriculum to insure that it meets the changing needs of students and the business community. The primary evaluation will be based upon the professional judgment of the faculty with inputs from AACSB, graduates of the Department and College, University faculty, business executives, comparable departments of Management at other universities, and current students in the Department of Management. To accomplish this objective, the Department Faculty will:

- a. Systematically survey both undergraduate and graduate students regarding their perceptions of the format and content of the course offerings in the department, and where appropriate and practical, modifying those offerings as needed.
- b. Systematically survey employers and alumni to ensure their insights regarding the needs of the business community are being appropriately incorporated into course offerings in a timely fashion.
- c. Formally evaluate the performance of our faculty on an annual basis.

Section II. Organization and Administration

A. Department Chair

1. Department Chair Administrative Duties

The Chair is the principal administrative and academic officer of the department. The Chair has the following administrative responsibilities:

- a. Coordination of all academic and instructional matters.
- b. Development and strengthening of faculty, academic programs, and prestige of the department.
- c. Preparation and supervision of the budget and the coordination of fiscal and academic matters including pay increments and equity adjustments in salaries.
- d. Review and approval of appointments, advancement, and tenure of faculty members. The Department Chair, Department Faculty, and other administrators are expected to make recommendations in these matters, but the final decision rests with the President of the University.
- e. Implementation and coordination of undergraduate curricula to meet changing educational needs of students together with maintenance of acceptable standards of admission and retention of student majors within the department.
- f. Analysis of teaching loads and related staff responsibilities to promote the interests of students and the maximum effectiveness of the faculty.
- g. Support and promote faculty members' professional development and accomplishments.
- h. Counseling of both faculty and students in academic and professional matters.
- i. Implementation of short- and long-range plans and objectives for the department.
- j. Represent the Department on the College Administrative Committee.

- k. Development of harmonious working relationships within the department, with other departments on campus, with other educational institutions, and with business, labor, government, and consumer groups in the State of Colorado and the nation.

2. Department Chair Faculty Duties

The Chair has the following faculty responsibilities:

- a. Teach a maximum of one class per regular semester.
- b. Serve on University and College committees as appointed.
- c. Maintain professional involvement and scholarly activities in chosen area of specialization.
- d. Represent the faculty to the business community and the constituencies of Colorado State University.

B. Academic Faculty

1. Faculty Responsibilities

The faculty of the Department of Management shall be responsible within the framework of University policy for:

- a. Academic standards within the Department
- b. Approval of academic programs and general policies concerning programs, curricula, departmental organization, and professional activities.
- c. Degree requirements, scholastic standards, honors and distinction granted, and counseling and advising activities.

2. Faculty Governance

Faculty governance is a means by which the Department Faculty can influence and implement policies related to:

- a. Curricula suited to the needs of the public served.
- b. Conditions that contribute to students' learning and development.
- c. Effective teaching and research, and other professional activities.
- d. Administration of the Department.

3. Faculty Members

Voting members of the faculty shall consist of all tenure-track faculty members holding the rank of Assistant Professor and above. Faculty members with special or temporary appointments as well as faculty affiliates and retired faculty shall have general faculty privileges and the use of department facilities. They may also attend all regular department meetings and provide input but will have no formal voting privileges unless specifically extended on a case by case basis, including limitations, by a majority of eligible faculty members in attendance at a special or regularly scheduled department meeting. However, voting privileges will not be provided to special or temporary appointment regarding personnel matters involving tenure-track faculty (e.g. hiring, promotion, and tenure decisions related to tenure-track faculty and departmental research activities). Non-voting attendees at a department meeting may be excused during voting portions of a meeting at the discretion of the department Chairperson or a majority vote of the faculty eligible to vote.

4. Departmental Committees

- a. All permanent faculty members are expected to contribute to the service objectives by serving on committees. Temporary faculty may serve on Department committees but must have approval of the Department Chair to serve on College or University committees. Ad hoc committees may be established upon request of any faculty member. Membership of the committees may be appointed by the Department Chair for activities related to special topics or problems not directly the concern of other existing committees. These ad hoc committees will function in accordance with a specific charge and procedure.
- b. The Tenure and Promotion (T&P) Committee is the only standing committee of the Department of Management. All tenured faculty serve as members of this committee. The Tenure and Promotion

Committee will annually elect a Chair to conduct Committee business and draft Committee documents.

C. Faculty Meetings

- a. The Department of Management shall hold no fewer than one Department Faculty meeting each semester. Such meetings shall be scheduled at a time when it can reasonably be expected that a majority of the Department Faculty will be in attendance.
- b. Written notice shall be given of such meeting by the Department Chair not later than five working days in advance of the meeting date. Electronic notification (e-mail) shall be considered written for purposes of this section. In case of an emergency, the notice requirement is limited to 24 hours.
- c. A special Department Faculty meeting may be called if at least 50 percent of the Department Faculty eligible to vote express their wish to have such a meeting called.
- d. For the purposes of transacting business, a simple majority of the Department's eligible faculty in attendance shall constitute a quorum. Voting on all matters, except where parliamentary matters dictate otherwise, shall be by simple majority of those voting.
 1. Proxies: Proxies from absent members may be held by permanent faculty, with a limit of one proxy per faculty member.

D. Department Chair Election

- a. Consistent with the C.2.6.1 of the University Code, the faculty of the Department shall make a recommendation to the Dean regarding their choice for Chair. That recommendation shall be the result of a majority vote of all eligible members of the Department Faculty.
- b. The term of office for Chair of the Department of Management is five years. Chairs may serve more than five years if elected by the

faculty.

- c. Once each year the Dean will receive from the individual faculty members of the Department a report on how the Department Chair contributes to the effectiveness of the programs and the faculty in the Department and within the College.

E. Salaries

The annual evaluation process for each faculty member leading to salary recommendations for the following fiscal year begins with the faculty member completing a college-wide calendar year Annual Faculty Activity Report. Data from these reports, plus course evaluation summaries for the calendar year spring and fall semesters respectively, are organized by the Department Chairperson for comparative purposes. Recommended raise figures shall be forwarded by the Department Chairperson to the Dean for review. The Dean shall have final authority in recommending adjustments to base salary. All recommendations for salary increase must be approved by the President.

F. Travel

1. Purpose of the Policy

Consistent with its mission and objectives, the Department of Management encourages faculty members to attend conferences and other academic events. The Department will subsidize such travel according to budgetary constraints and the interests of the Department. The specific guidelines for disbursement of travel funds are set forth below.

2. Administration

As a general principle, all regular faculty members can request an equitable share of departmental travel funds. Travel money, however, is not an entitlement granted in every case. The administration of funds will be based on the following procedures:

- a. Faculty members should submit a summary of their anticipated travel plans to the Department Chair at the beginning of the academic year. The Chair can then evaluate faculty travel needs in light of funds

available to meet those needs.

- b. The faculty member will submit a request to the Department Chair for each specific travel event. The request must describe the destination of the travel, the event's official designation (e.g., Academy of Management Annual Meeting), the approximate cost, and the purpose of the travel. The request should include a brief statement explaining how the travel will significantly contribute to the academic standing of the department. Presentation of a scholarly paper will be regarded as a significant contribution. The Chair on a case-by-case basis will evaluate other reasons for travel.
- c. The Chair will either approve or disapprove the request. If the request is denied, the Chair will provide a written statement of the reasons for the decision. Those reasons may include lack of funds or an insufficient justification for the travel. The faculty member may appeal that decision by presenting a written response to the Chair asking for reconsideration of the decision. The Chair's determination is final.
- d. Following the faculty member's travel, he or she will submit a written or verbal report to the Chair. The report will confirm the faculty member's attendance at the event and summarize how the travel benefited the individual, the department, and the university.

3. Multiple Travel Requests

Funding for requests to attend more than one conference or professional meeting in the same academic year will be based on the money available in the departmental budget after all requests have been considered.

Faculty submitting multiple requests should specifically indicate their reasons for doing so.

4. Funding

As appropriate, the Chair will inform department members of the status of discretionary funds available to the department. The Chair, with the participation of the faculty, will allocate an amount of those funds to

faculty travel. Any unused travel funds are to be returned to the budget for other uses, such as summer research support.

G. Summer Teaching

Priority in summer teaching assignments shall be given to tenured and tenure track faculty.

H. Personnel

1. Procedure for Review of Candidates for New or Vacated Faculty Positions

The Department Chair is the hiring authority for filling faculty vacancies within the Department of Management. The Chair is responsible for establishing the Search Committee, with the concurrence of the Department Faculty, and subject to the approval of the Office of Equal Opportunity, charging the committee with its duties, receiving the report of the committee, and making the final decision to offer the position, subject to the approval of the State Board of Governors. Specific procedures for filling vacancies, along with the responsibilities of those involved in the search process, are contained in the *Search and Screen Manual*, published by the Office of Equal Opportunity, and available in the Department of Management Office.

2. Search Committee Procedural Guidelines for the Department of Management

- a. The Search Committee will identify and submit to the Department Faculty a pool of not more than five candidates.
- b. After discussion of the candidate pool, selected candidates may be invited to campus for interviews.
- c. At the conclusion of the interview process, the Department Faculty will hold a meeting at which time the interviewees will be discussed. It is the responsibility of each faculty member to attend the meeting and to make his/her views about the qualifications of each candidate

known to the other members of the faculty.

- d. The faculty's preference will be presented to the Department Chair. It will include a narrative of the strengths and weaknesses of the recommended applicant. The faculty's preference will normally be endorsed by the Department Chair. In those instances where the Chair may choose to not endorse the faculty's preference, the Chair, to the extent possible, will provide to the faculty an explanation of the reasons for selecting a candidate other than the faculty's preference.

3. Requests for Extensions of Probationary Period

Untenured faculty members may request the P&T committee to extend the normal probationary period for childbirth or care of immediate family members or for reasons covered under the Americans with Disabilities Act. These requests should be made by the faculty member in writing prior to the first day of the academic year when the tenure decision is to be made. (See Section E.9.4 of *The Manual*).

4. Consideration of time at another institution for tenure

(See Section E.9.4 of *The Manual*).

I. Operational Evaluation

The Department shall conduct an internal self-study, review and evaluation of its goals, operations, programs, and administration every seven years, in accordance with University policy (See Section C.2.4.2.2.d, *The Manual*).

J. Committees

The department will make recommendations to the Committee on Faculty Governance as to departmental representation on College and University Committees. These recommendations will be based upon the results of elections and/or appointments made by the Department Chair. Only faculty members holding a permanent tenure track position, special, or clinical appointment may serve on College and University Committees. Temporary faculty may be considered for such appointments and/or elections with approval of the Department Chair.

Section III. Faculty Administrative Policies and Procedures

The Administrative Policies and Procedures provide the guidelines, rules, regulations and practices that will affect normal operating decisions of the Department.

A. Department Workload Policy

The percentage of faculty effort associated with each of the evaluative categories including teaching and advising, research and publications, and professional activities including service and outreach, shall be established by each faculty member in conjunction with the Department Chairperson per a timetable established by the Department Chairperson each year. Percentages must add to 100 percent.

1. Contracts and Grants

- a. Faculty members are encouraged to pursue contracts and grants.
Contracts and grants should be housed within the Department and/or an appropriate University entity. All contracts and grants administered through the Department or having a principal investigator from within the Department shall contain appropriate overhead and administrative expenses to help diffuse the cost of departmental support of the project. Additional college and university overhead may be added to the project as appropriate.
- b. Buyouts for Externally Funded Research may be negotiated with the Department Chairperson as a means of reducing one or more elements of a faculty member's overall workload portfolio. To the extent possible, buyouts and buyout rates are to be negotiated in advance with the Department Chairperson and appropriate college personnel at a rate consistent within the College or as may exist as policy at the University level.

2. Continuing Education and Non-Credit Activities

Faculty members may be involved in teaching continuing education credit and non-credit classes with the approval of the Chair of the Department and the Dean of the College. Such teaching activities should not interfere with the faculty member's regular duties or abrogate the policies or regulations of the Department or the College.

3. Supplemental Pay

Faculty members may earn supplemental pay for activities performed over and above the workload which is intended under the individual's appointment. Teaching credit classes through Continuing Education, conducting non-credit programs through the University, and involvement in contracts and grants are activities which may lead to supplemental pay. The amount of and limits to the supplemental pay a faculty member may receive shall be consistent with current university policies as outlined in the *University Academic Faculty and Administrative Professional Staff Manual*. Faculty members are encouraged to "purchase" release time, when appropriate, to ensure that there is no conflict in terms of carrying out his/her teaching responsibilities. It is the joint responsibility of the individual and his/her immediate supervisor to ensure that activities leading to supplemental pay shall in no way detract from the performance of his/her primary duties.

4. Consulting and Outside Activities

As Department Faculty teach and research in the various business disciplines, professional consultation to organizations is viewed as a service and as a development activity for the faculty member. Such activities should not interfere with the regular duties of the faculty member and should be reported on an annual basis to the Chair of the Department.

5. Professional Associations and Community Involvement

Faculty members are encouraged to belong to and take an active role in professional associations and societies. The Department will support attendance of professional association meetings when faculty members present papers or are otherwise involved with the meeting by virtue of holding an office or serving on a committee or panel. Attendance at such meetings for professional development purposes is also viewed as a legitimate activity of faculty members. Support in the form of sharing expenses will be provided for paper presentations and/or attendance of professional association meetings to the extent it is financially feasible for the Department to do so. Involvement in community service and philanthropic organizations is encouraged but normally the Department cannot offer any financial support for such activities.

B. Appointments of Faculty

1. Appointment of Faculty

- a. In seeking out and appointing any regular full-time, regular part-time, special, clinical, temporary, or transitional faculty members, the department will adhere to non-discrimination, affirmative action and other policies of the university as outlined in *The Manual*, and/or other relevant university policies, procedures or documents.
- b. To the extent possible, new tenure-track hires should be evaluated based on disciplinary or specialization needs of the department with consideration given to strategic directions of the college.
- c. Any special, clinical, or temporary faculty members employed by the Department/University will be appointed by the Department Chairperson after appropriate consultation with Department Faculty.
- d. The Department Chairperson will initiate the search for new regular full or part-time faculty by appointing a departmental search committee. This committee will consist of at least three eligible faculty

members and will follow the search screening guidelines established by the EEO office.

2. Reappointment of Faculty

- a. Review and reappointment of tenure-track faculty is done once a year, consistent with the policies outlined in Sections E6 and E.9.3 of *The Manual*. At the time of appointment, the chair is responsible for making explicit the conditions that normally must be met for the acquisition of tenure, including the information specified in Section E.9.3 of *The Manual*.
- b. During the faculty member's first year, the chair must inform the faculty member in writing, no later than March 1, if the contract will not be renewed. The Chair will request input from the Department's Tenure and Promotion Committee regarding the faculty member's reappointment no later than February 1.
- c. During the faculty member's second year, the Chair must inform the faculty member by December 15 if the contract will not be renewed. The Chair will request input from the Promotion and Tenure Committee by November 1 regarding the faculty member's reappointment.
- d. During the Spring Semester of the faculty member's second year, the Promotion and Tenure Committee will conduct a review of the faculty member's performance and progress toward tenure. The P&T committee will provide written feedback to both the faculty member and the Chair by April 30. This input will be used by the Chair to determine whether the faculty member's contract will be renewed for the fourth year following initial appointment to the tenure track position, in accordance with Section E.6 of *The Manual*, which requires at least a 12 month notice of nonrenewal after the second year.

- e. The Chair of the P&T Committee will request the faculty member to submit an updated summary of accomplishments no later than March 15 of the second year and every year thereafter until the tenure decision has been made. Annual performance reviews may be used to help develop the summary report.
- f. A review of the faculty member's progress to determine whether there is any reason for non-continuation of the contract will be conducted each year by the P&T committee, and a written recommendation to continue or discontinue the contract sent to both the faculty member and the department chair by April 30.
- g. A full review of a faculty member's performance and progress toward tenure, including a meeting and discussion of the P&T committee, should be completed by April 30 in year 3 and year 6 of the faculty member's tenure at CSU.
- h. Whether a formal meeting is required of the P&T committee member's performance in intermittent years will be determined by the P&T Chair, who will consider requests by the faculty member for additional feedback and reviews.

C. Formation of Promotion and Tenure Committees

1. For consideration to Full Professor, the Department Chairperson shall constitute a promotion committee consisting of all Full Professors in the department. All Faculty members who hold an appointment of all Full Professors in the Department as well as Professors who serve in an administrative capacity as a Director of a Center or Institute are eligible for membership in P&T Committees as long as they are not voting members of the Administrative Committee (ADCOM) of the College.
2. The P&T Committee will elect the chair of the promotion committee. In the absence of at least three Full Professors in the department, procedures outlined in *The Manual* shall prevail (see E.13.1). In the event that a minimum of three Full Professors do not exist within the department, the

Department Chairperson in consultation with the Dean shall complete the formation of a promotion committee by lot, drawing from eligible faculty (non-administrative) members in College of Business Departments with interests complementary to management and its sub-disciplines.

3. For promotion to Associate Professor with tenure, the Department Chairperson shall constitute a P&T committee consisting of all tenured eligible faculty members in the department at the rank of Associate Professor or Professor. Faculty members who hold an appointment of an Associate Professor or higher in the department as well as faculty over the rank of Associate or Full Professor who serve in an administrative capacity as a Director of a Center or Institute are eligible for membership in P&T Committees as long as they are not voting members of the Administrative Committee (ADCOM) of the College.
4. The P&T Committee will elect the chair of the committee. In the event that a minimum of three Associate and Full Professors do not exist within the department, the Department Chairperson in consultation with the Dean shall complete the formation of a P&T committee by lot, drawing from faculty (non-administrative) members in College of Business Departments with interests complementary to management and its sub-disciplines.

D. Procedures for Promotion

1. The promotion committee shall be responsible for informing candidates seeking promotion to Associate Professor or Professor of all applicable rules, procedures, report formats, timetable, and additional information as necessary in order to properly complete all required documentation. The Chair of the Promotion Committee may meet with the candidate as required or requested. The Chair of the Promotion Committee will arrange for external evaluation letters

focusing on research strengths and weaknesses of the candidate's scholarly productivity record to date. The selection of external reviewers, although arranged by the chair of the P&T Committee, will consider the input from (a) the candidate for promotion, (b) the department chair, and (c) the members of the P&T Committee. The chair will solicit recommendations from each of these individuals and will record them on a spreadsheet that indicates the names of the recommended reviewers, their affiliations, and a brief description of their qualifications. This spreadsheet will be included in the candidate's P&T dossier, but will not be disclosed to the candidate so that the anonymity of the external reviewers can be preserved. Consistent with the Faculty Manual, the Committee is not obligated to select any of the reviewers from the list of those recommended by the candidate, and furthermore, should ensure that no more than two of the reviewers chosen are taken from the candidate's recommendations. The P&T Committee will vote by secret ballot whether to recommend or not recommend the candidate for promotion and/or tenure.

The committee will issue its report to the Department Chairperson with a copy to the Dean documenting the deliberations and results of the vote. Those voting in the minority shall be afforded the opportunity to attach or append a minority report consisting of a statement of minority views and rationale. This statement, if included with the promotion committee report, shall be prepared and coordinated by a member of the minority and submitted simultaneously with the majority report as per a timetable specified by either the Dean or the Department Chairperson.

2. A vote tally regarding the candidate's promotion shall be recorded (without names associated with any vote) and documented as part of the report. The candidate shall be apprised of the outcome of this vote as soon as possible after the report has been prepared and sent to the Department Chairperson. In those cases where a faculty member may eventually leave the University, all written records shall be preserved for a minimum of five years beyond the person's

departure, and shall be maintained in a permanent file for those faculty that eventually retire from the University.

3. In the event that the candidate seeking promotion to Associate Professor or Professor is the Department Chairperson, the Dean shall appoint the Chair of the Promotion Committee and the report from the promotion committee shall be sent to the Dean.

E. Procedures for Tenure

1. Granting-of tenure will follow the procedures outlined in the University's faculty/staff manual.
2. All tenured faculty with the exception of those who are voting members of the Administrative Committee (ADCOM) of the College will be involved in the decision to grant tenure and will meet as a committee of the whole (i.e., the Tenure and Promotion Committee).
3. Tenure decisions will be based upon the faculty member's contribution and record of achievement in the areas of teaching and advising, research and publications, and service to the Department, College, University, and community. Inputs from internal and external constituencies may be referred to in the decisional process.
4. The Department Chair's statement/recommendation will be submitted as a separate but accompanying document to the committee's recommendation.
5. The reports of the Committee and the Department Chair will be forwarded to the Dean.

Section IV. Faculty Evaluation, Tenure & Promotion (P&T) Standards, and Disciplinary Actions

A. Annual Faculty Performance Evaluation

1. Statement of Purpose

The primary mission of Colorado State University and the College of Business is to provide a diverse set of students with the knowledge, skills, and functional competencies needed to become

effective decision makers and leaders in a business environment that is becoming more global, competitive, and dynamic.

Commensurate with our Department's mission, it is vital that the faculty of the Department of Management strive for excellence in their professional contributions to the College. To aid the department faculty in this endeavor, annual performance appraisal meetings will be conducted between individual faculty members and the Department Chair, and periodic comprehensive reviews of the

performance of all faculty will be conducted in a manner consistent with the University Code, Section E. 11.

2. Chair's Responsibility

- a. These annual performance appraisal meetings will be conducted with a positive and proactive approach to helping faculty evaluate and improve their professional contributions to the Department and the College mission. During these meetings, each faculty member's current contributions in the areas of teaching and advising, research, and service will be evaluated. Future goals and contributions will be discussed by the Chair and the faculty member. Resources needed by the faculty member to reach jointly agreed on goals will be discussed.
- b. In conducting these meetings, the Chair will recognize that individuals at different points in their careers may have varying objectives and priorities. Faculty members, in striving to support the College mission, and depending upon personal strengths and interests, may make their primary contribution in one or two areas. However, support for the College mission requires some level of involvement in all three areas commonly recognized to be the core of professional activity for university faculty.

3. Faculty Member's Responsibility

In anticipation of the meeting, each faculty member will complete the College of Business Faculty Activity Report in whatever electronic format is currently in use in the College. All tenure-track and non tenure-track faculty members will complete all sections of this form (teaching, research, and service), In addition, consistent with Section I.8 of the Faculty and Administrative Professional Manual, faculty are required to administer the University's student course survey instrument. The chair of the Department is granted access to the complete course evaluations (including scaled question responses and student comments) for each class taught within the Department.

4. Appeals Procedure Regarding Performance Appraisal

Procedures regarding the appeal of a faculty member's performance appraisal will follow those established in the *CSU - Academic Faculty and Administrative Professional Staff Manual*.

B. Standards for Tenure and Promotion to the Rank of Associate Professor

1. The process of granting tenure with promotion to associate professor is initiated by the Department Chairperson and requires the completion of steps outlined in *The Manual* (E.10.5 and E.13).
2. Candidates for tenure and promotion to associate professor will be evaluated by the committee in terms of workload responsibilities and accomplishments prior to and since joining the Department Faculty. Specifically, the assessment will include teaching and advising, research and scholarly activities, service, and outreach responsibilities. Primary consideration is given to research that leads to publications in nationally recognized journals, and/or nationally recognized journals in related and emerging disciplines. The journal lists of the College of Business utilized as an assessment tool will be provided to all new faculty hires and any additions to or deletions from the list, as

determined by the faculty of the department, will be made available as they are developed. Productive membership in the department includes the potential to remain a continuing research and scholarly contributor at a high level after receiving tenure and promotion to associate professor.

3. Research productivity is defined as both the quantity of articles produced and the quality of these articles as represented by a journal's reputation as indicated by its position on the COB target journal list, and other indicators of reputation, which can include the journal's impact scores. Research publications consist of those published in peer-reviewed journals and meeting the definition of "Basic and Discovery Research" as described by AACSB. Publications intended for use as classroom teaching aids (e.g., case studies developed for pedagogical purposes) are considered accomplishments in the area of teaching and not research. Also included is funding brought into the university as a result of contract and grant activity. Refereed conference proceedings (international, national, and regional) shall also be taken into account when measuring scholarly productivity, acknowledging also that proceedings generally carry less weight than publications in nationally recognized journals. Similarly, non-refereed conference presentations and other professional appearances and presentations shall be considered as indicators of on-going scholarly productivity efforts. Publication in electronic journals will also be included with quality of such publications being considered. While no specific number of publications is required, or publications in specific journals, a journal's academic ranking will be taken into consideration.

While areas such as community-based service learning and pedagogy-based research are encouraged, publication outlets for these research activities should, to the extent possible, include

nationally recognized journals.

4. Quality teaching is a prerequisite to tenure and promotion to associate professor. Evidence of quality teaching may include positive performance evaluations over time, positive student course evaluations, course syllabi that are current, positive peer reviews, innovative teaching methods, development of case studies, class projects, and/or other forms of evaluation as may be requested by the Department Chairperson, P&T committee, or proposed by the probationary period candidate. While extremely important, teaching performance will generally carry less weight in an overall P&T performance review as compared to published research and other scholarly productivity results even though teaching/instruction may carry a higher percentage in an individual workload. To the extent possible, the quality of academic and professional advising will be considered as a complementary activity to quality teaching. It is understood that individual workload percentages may vary considerably among faculty members as agreed to by the Department Chairperson.
5. Service and outreach is also necessary for tenure and promotion to associate professor. However, it should be clear to the probationary candidate that service and outreach of this period of one's career carries less weight, than either research and publication results, or teaching/advising performance.
6. In evaluation of each candidate's qualifications for tenure and promotion to associate professor, workload distribution for the categories of research, teaching and advising, service, and outreach shall be considered by both the P&T committee and the Department Chairperson.

C. Standards for Promotion to the Rank of Professor

1. The process of granting promotion to professor for those faculty already tenured is initiated by the Department Chairperson and

requires the completion of the steps outlined in *The Manual* (E.13).

- a. Successful candidates for promotion from associate professor to professor must demonstrate excellence in either research and/or teaching and at least above average in the other category (research or teaching). This person must also have a minimum of an average record in service and outreach. Excellence in research and scholarly productivity is defined as a sustained record of refereed publications since promotion to associate professor with an emphasis placed on publications in nationally recognized journals. Research publications consist of those published in peer-reviewed journals and meeting the definition of “Basic and Discovery Research” as described by AACSB. Publications intended for use as classroom teaching aids (e.g., case studies developed for pedagogical purposes) are considered accomplishments in the area of teaching and not research. Publications while employed at another institution may be considered. The establishment of a national reputation in a stream of research and scholarly productivity shall be a consideration in promotion to professor.
 - b. Excellence in teaching is defined as consistently high student and peer evaluations, teaching awards, and other forms of recognition indicating the faculty member is at the top of his/her profession in terms of classroom performance, including advising and mentoring activities.
2. For promotion to professor, research productivity may include both the quantity of articles produced and the quality of these articles as represented by a journal’s reputation, which can include impact factor scores and its inclusion on the COB target journal list. While not a specific requirement for promotion to Full Professor, success in securing a stream of external contract and

grant funding may be taken into consideration. Refereed conference proceedings (international, national, and regional) may be taken into account when measuring scholarly productivity, acknowledging also that refereed proceedings generally carry less weight than publications in nationally recognized journals. Similarly, non-refereed conference presentations and other professional appearances and presentations shall also be considered as indicators of on-going scholarly productivity efforts and the establishment of a national and/or international reputation. The promotion committee and Department Chairperson are expected to consider a) a journal's academic reputation, b) whether the candidate has made a significant impact or advancement to his/her field as a result of a stream of research and publications over time, and c) the overall value of securing external research funds to the mission and objectives of the department, college, and university.

3. Each candidate shall understand also that the category of 'Research, Scholarship and Creative Activity' as employed in the *Annual Faculty Evaluation – Summary Report* issued to each faculty member by the Department Chairperson does not have to be the highest percentage category in terms of workload in the process of conducting an annual review, but may be the dominant category when being considered for promotion to (full) professor.
4. In evaluating each candidate's qualifications for promotion to professor, workload distribution for the categories of research, teaching, and advising including service and outreach shall be considered by both the promotion committee and the Department Chairperson. It is understood that individual workload percentages may vary considerably among facultymembers as agreed to by the Department Chairperson.
5. In the event that a faculty member seeking promotion to professor is not tenured, then all of the conditions, requirements and

processes stated above in Sections III.C., D., and E. shall apply plus standards for tenure as stated in Section IV.B shall also apply.

D. Comprehensive Midpoint Probationary Period Review of

Untenured Faculty

1. Midpoint is defined, for purposes of this Code, as a time period approximately halfway to the time when tenure recommendations must be made (see *The Manual* E.4). This review shall normally occur during the third year of service for faculty with no credit for service at another university. For example, hires with one year prior service credit at one or more other universities specifically stated in their contract offer letter, may count this year as year one on the P&T clock and midpoint review shall occur during the second year at Colorado State. *The Manual* (E.10.4, E.13) provides guidelines for faculty members who have been granted credit for years of service at other institutions.
2. A midpoint comprehensive review of a probationary period tenure track faculty member shall be conducted by the departmental tenure committee at the rank of associate professor or above following the reporting format specified for a regular tenure and promotion review, excepting the requirement of external review letters. A meeting between the probationary period faculty member and the tenure committee is at the discretion of the tenure committee. Results of this review shall be communicated in writing to the faculty member being reviewed, the Department Chairperson, Dean, and Provost (see *The Manual* E.14.1).

E. Annual Probationary Period Review of Untenured Faculty

(See *The Manual* E.14.1 and C.2.5)

1. Untenured (probationary period) faculty are required to submit to the department tenure committee an annual summary of research

progress, articles submitted for review, articles under review, articles accepted for publication and/or published, contract and grant summary information, and other professional information as appropriate, plus teaching and service/outreach information as requested by the committee. This request may come from the tenure committee and Department Chairperson simultaneously.

2. While the request for annual data may occur simultaneously with a request from the Department Chairperson for equivalent data—potentially using a common format (e.g., the *Annual Faculty Activity Report* prevalent throughout the college)—the use of this data is to be separate from the Chairperson’s responsibility of performing an annual performance review that may be used for salary increases.
3. The departmental tenure committee shall annually review data provided by the probationary period faculty member. It is at the option of the tenure committee whether or not a meeting with the probationary period candidate is needed. A written summary of this data review, including any recommendations supporting or not supporting continued contract renewal, shall be provided to the Department Chairperson with a copy to the faculty member prior to any calendar year reappointment dates that may be established by the Provost’s office. This summary shall include an assessment of progress toward tenure accompanying constructive and directional feedback and be included in the faculty member’s personnel file for the exclusive use in future midpoint or final tenure, or tenure and promotion, deliberations.

F. Disciplinary Action for Tenured Faculty

1. In cases of disciplinary action against a faculty member as specified in the Manual, procedures outlined in the *The Manual* (currently E.10.7.2.) will be followed with the addition that the Preliminary Committee specified shall consist of tenured members

of the department at the same or higher rank than the faculty member for whom disciplinary action is under consideration. If a minimum of six members from within the Department does not exist (*The Manual* E.10.7.2.2), then selection to achieve a minimum Preliminary Committee size of at least six shall be drawn by lot by the Dean and Department Chairperson collectively (excepting the case where the Department Chairperson is the party under consideration) from remaining tenured non-administrative (see *The Manual* K.12.a) faculty in the College. This Committee membership shall consist of at least one male and at least one female. All Committee members must be at the same or higher academic rank than the faculty member for whom disciplinary action is being considered. The Dean shall be the sole determinant of any committee size in excess of the required minimum of six.

2. The composition of the Hearing Committee as called for in *The Manual* (currently E.10.7.3.3.b) shall be constituted in the manner outlined in the preceding paragraph.

G. Phase II Comprehensive Performance Reviews

1. The Phase II Review Committee as specified in *The Manual* (currently E.14.2.2) shall be constituted by the Department Chairperson in consultation with the Dean in an unbiased and impartial manner. At least one member of this Phase II Review Committee (aka peer review committee) shall be from within the department and at the same or higher rank than the person undergoing a Phase II review, and at least one member (non-administrator, see *The Manual* K.12.a) selected by the Dean from another department within the College at the same or higher rank than the person undergoing a Phase II review. In the case where there are no members of the department at the same or higher rank, then the Dean shall select by lot, a minimum of three persons from within the College at the same or higher rank than

the person undergoing a Phase II review. The Dean shall be the sole determinant of any committee size in excess of the required minimum of three.

- a. The person undergoing a Phase II review may dismiss for cause up to two members of a Phase II Review Committee from outside the department as selected by the Dean. Outside members shall then be replaced by the Dean, again by lot, with no further challenges permitted. Individuals selected from within the department of the person undergoing a Phase II review are not subject to dismissal without cause; however the Department Chairperson shall not select any faculty member internal to the department where it could reasonably be known that considerable bias and/or prejudice for or against the faculty member may exist. In the case where there are no members within the department without considerable bias or prejudice, then the Dean shall constitute the entire committee by lot. In the case where the Dean may elect to recuse him/herself from the Phase II process then the Provost may elect to appoint an Associate Dean from within the College to assume the role and duties of the Dean.
- b. The Phase II Review Committee (Peer Review Committee) shall be constituted within thirty working days after the decision to initiate a Phase II review is initiated and communicated to the faculty member, unless a request to the Dean for a time extension is made by either party (faculty member or Department Chairperson) within the thirty working days. Any request for extensions shall be documented in writing including rationale, and provided all parties. The Dean or his/her delegate, may elect to, or not to, grant the extension, but must provide written rationale to all parties if a request to extend is denied.

The Dean may extend the deadline for constituting the committee under extenuating circumstances.

- c. The Phase II or peer review committee shall request any and all materials relevant to the decision to initiate a Phase II review. This includes written materials and/or oral input from the faculty member, the Department Chairperson, or others as appropriate. All materials shall be reviewed with the perspective of professional standards of the department. Upon reviewing any and all input, the peer review committee shall make a decision as outlined in *The Manual* (currently E.14.2.2) in a reasonable and timely manner, but no longer than one calendar month after being constituted unless an extension is specifically requested by the committee and approved by the Dean. The Phase II process is concluded should the peer review committee conclude either option one or two indicating no further action is required, and continue should either of the two remaining options indicating further action is required (also labeled options one and two in *The Manual*) be concluded.
- d. If the Phase II or peer review committee elects the first of the two options indicating that further action is required, the Department Chairperson, in conjunction with the faculty member, shall prepare a specific action plan within ten working days upon receipt of the committee's recommendation. This plan shall include a timetable that will address and respond to deficiencies that resulted in the Phase II review. Either the Department Chairperson or the faculty member may make a request to the Dean for an extension of an additional ten working days. This plan shall be submitted to the Dean for approval. The Dean may make changes that are

documented in writing and with rationale. Final approval of the plan rests with the Dean. Progress towards achieving the plan's objectives may be requested and assessed at any point including the end of a semester or prior to the preparation of the next annual Activity Report. The Department Chairperson, through the Dean, is responsible for communicating both the plan and progress towards the plan to the Provost. With this decision and written recommendation, the responsibilities of the Phase II Review Committee (peer review committee) in conjunction with this first of two options indicating that further action is required, are concluded, excepting any input regarding evaluative metrics (per Section IV.G.1.f.).

- e. Types of information that may be included in an action plan include but are not restricted to: 1) research outlines, funding proposal plans, drafts of articles, articles submitted, reviews of articles submitted, planned writing projects; and/or 2) additional planned teaching evaluations including mid-semester, peer evaluations, teaching improvement plans, consultative plans, syllabi, cases and case notes, project descriptions, lecture outlines, and detailed actions designed to improve classroom performance. The action plan must include specific intended outcomes, milestones, and/or expected accomplishments.
- f. The faculty member, in the manner and time requested, shall provide the Department Chairperson and Dean, suggested specific metrics with which to gauge progress against noted deficiencies. These metrics may be overridden and/or supplemented by recommendations proposed by the Phase II Review Committee (peer review committee), the Department Chairperson, or Dean. The faculty member and/or Department Chairperson or Dean may seek evaluative input internal or

external to the department and college as may be appropriate.

- g. The Department Chairperson shall provide formal written evaluation of progress towards accomplishing the objectives of this action plan at a minimum of once per semester with copies provided the faculty member and Dean. The faculty member may elect to respond, as desired, in writing and within ten working days after receipt of any formal evaluation of progress, with copies to the Department Chairperson and Dean. The Department Chairperson, through the Dean, shall be responsible for communicating and transmitting all information and reports as desired or requested to the Provost. The action plan may be considered as accomplished at any time upon written recommendation of the Department Chairperson to the Dean and as approved by the Dean. This approval by the Dean shall conclude the Phase II process in the case where further action has been recommended and the requirements of option one concerning substantial and chronic deficiencies have been remedied.
- h. If the peer review committee elects the second of the two options indicating that further action is required, and the conditions set forth in Section E.10.7 of *The Manual* appear to exist, then the faculty member shall be informed in writing within five working days of this vote and decision. In addition to requirements specified in *The Manual*, the faculty member shall have fifteen working days to provide a formal written response to each point cited in the vote and decision. This response shall be directed to the Department Chairperson and Dean, with copy to the peer review committee. The Provost shall make the final decision regarding any action or actions to be taken. With this decision and written recommendation, the responsibilities of the peer review committee are concluded,

excepting any consultation role requested by either the Department Chairperson or Dean.

- i. Under either of the options indicating that further action is required, the entire Phase II process must be concluded within one year from inception to conclusion, unless specifically extended by the Dean with the approval of the Provost. The faculty member may not obligate the Department, College, or University for any costs incurred by the faculty member in seeking internal or external evaluative input, opinions, or advice regarding this Phase II process.
6. As noted in *The Manual* (E.14.2.2), the initiation of a Phase II review is not grievable.

Section V. Student Grade Appeals and Faculty Grievances

A. Graduate Student Evaluation

1. As stated in the Graduate Bulletin, to meet requirements for graduation and to remain in good academic standing, a student must demonstrate acceptable performance in coursework and satisfactory progress in the overall graduate program. Students on probation are subject to dismissal by the academic department or the Dean of the Graduate School. In addition, a student's graduate advisory committee (the Committee) may recommend immediate dismissal, in lieu of probation, upon a finding that the student is making unsatisfactory progress toward the degree and that satisfactory progress cannot reasonably be anticipated.
2. Performance indicators that may lead to a recommendation for an immediate dismissal action may include, but are not limited to:
 - a. Failure to follow graduate advisor or Committee documented recommendations regarding specific academic tasks to be undertaken and completed, methodologies to be followed, documentation of work product, or writing as requested.

- b. Documented instances of plagiarism by a graduate student including but not restricted to research (primary or secondary), falsification of research results, and/or written work presented for thesis or Plan B review to the student's advisor or Committee.
- c. Poor or non-performance in a Graduate Teaching or Research Assistantship as documented by the student's supervisor or advisor.
- d. Other acts that are deemed by the advisor or Committee to compromise the academic integrity of the program, e.g., cheating or conspiring to cheat, including acts which, by intent, limit other students to succeed in the program.

Graduate advisors shall inform their graduate advisees of the existence of the Graduate Bulletin and appropriate sections such as the 'Evaluation of Graduate Students' and 'Student Rights and Responsibilities.' Graduate students familiarity with the Graduate Bulletin can also be encouraged through general graduate student advising.

- 3. For Masters' students, periodic evaluation of progress toward the Master of Science degree shall consist of grades in specified coursework plus any documented evidence of failure to comply with program, departmental, college, or University requirements. Additional documented evidence shall include, but is not restricted to, falsification of entrance exam scores, academic scores and/or results from any academic institution, and falsification of resumes.
- 4. Acts by graduate students, separate or outside their graduate program, may also result in a recommendation for dismissal by the Committee from Departmental/College academic programs and/or the College and University. These include, but are not restricted to, personal acts including documented threatening behavior to faculty, staff or others, physical violence, destruction of University property, participation in

illegal activities or activities harmful to the University, plus other threatening, destructive, or harmful acts of a non-professional nature.

5. Students who have a contract for a Graduate Teaching Assistantship or Graduate Research Assistantship may have that contract terminated or not renewed for reasons of non-performance or poor performance. Documented examples of non-performance/poor performance of duties may include, but are not limited to, attendance problems, ASCSU evaluations, supervisor evaluations, advisor evaluations, or student complaints. The mechanisms for termination may be found in the Graduate Bulletin.
6. At any time in which the student's performance may be subject to question to the extent that dismissal is potentially being considered, a formal review and performance evaluation may be conducted by the student's graduate advisor, assistantship advisor, graduate committee, and/or department chairperson. The student shall be advised as to all relevant concerns with an attempt to seek a positive resolution of issues. Failing to seek a positive resolution of issues, any action to recommend dismissal of a graduate student shall be communicated both orally and in writing with specific actions or non-actions resulting in a recommendation to dismiss provided to the student in a timely manner. In any instance where there is a recommendation to terminate a graduate student's participation in the graduate program, or dismissal that is the result of any of the conditions listed in the Graduate Bulletin under the section 'Graduate School Appeals Procedure,' the appeals procedures detailed in this section shall be applicable.

B. Student Grade Appeal Procedures

1. Situations occasionally arise in which an undergraduate student questions the fairness of a grading decision. Specific conditions that may constitute the basis for an appeal are included in Section I.7.1 of *The Manual*. In the case where

the faculty member has either left the university or is otherwise unavailable, the Department Chairperson shall serve as the person receiving the student's written grading appeal. When the Department Chairperson is the person to whom the grading decision is being appealed, then the Dean or his/her designated representative shall serve as the person receiving the student's written grading appeal. The instructor or party receiving the student appeal shall name one faculty member and one student from within the department. The student filing the appeal shall name one additional faculty member and one additional student from within the department. The Dean or his/her designated representative shall name one additional faculty member from outside the department who shall serve as voting chair. These five individuals constitute the appeals committee. The committee shall contain at least one male and at least one female member. The appeals committee's decision shall be decided by majority vote and may not be appealed further. Copies of this decision shall be provided to the student, faculty member, advisor, his/her Department Chairperson, and the Dean.

2. Graduate students are advised to review the Graduate School Appeals Procedure in the Graduate Bulletin (also see Section V.A above).

C. Faculty Grievance Procedures

A faculty member with a potential grievance against the department Chairperson or other administrator shall first try to resolve the problem with the Chair or appropriate administrator, including the Dean. The faculty member is encouraged to seek all internal assistance to achieving a reasonable solution to the perceived problem before a formal grievance is filed. The second step shall be an attempt to resolve any issues through mediation (see *The Manual* K.4). Failing

mediation, faculty are referred to *The Manual* (Section K) as to what may be grieved and the grievance procedure. In no case shall any costs incurred by a faculty member in the process of reaching a solution to a potential grievance, including legal fees, be assumed by the department.

Section VI. Procedures for Changing the Department Code

1. Changes in this code may be initiated with a recommendation of the Chair of the Department and/or the recommendation of an ad hoc code committee. These recommendations must then be affirmed by a two-thirds vote of all faculty who hold regular tenure track, special, or clinical appointments within the Department.
2. This code will be reviewed in the year prior to the end of each term of the Department Chair or as recommended by the Provost, Dean, Department Chair, or the Code Committee of the Department.

Section VII. Relationship to the University and College Codes

It is recognized that the University Code will supercede College and Department Codes. If provisions of this Code conflict in some way with the University Code, the University Code will prevail. (*The Manual*, Section C.2.4.3). However, Department Code is acknowledged to supercede College Code.

