Code of the Department of Occupational Therapy

College of Health and Human Sciences

Colorado State University

September 16, 2021

Table of Contents

Preamble

The Code of the Department of Occupational Therapy, herein referred to as the OT Code, is intended to serve these purposes:

- Provide policies and procedures for Departmental governance that are actionable, efficient, effective, transparent, enduring and conducive to the greater good of the Department as a whole
- Establish clear expectations for the contributions and responsibilities of the Department's faculty and staff
- Establish clear and fair standards and processes by which the performance of the Department's faculty and staff is evaluated and
- Support timely decision-making and resolution of concerns.

Section 1: Mission, Vision, and Values

All faculty, administrative professionals, and state classified staff strive to advance the Department's mission, vision and core values, consistent with their particular responsibilities.

1.A. Mission Statement

See website for our current mission statement.

1.B. Vision Statement

See website for our current vision statement.

1.C. Commitment to Principles of Community

All faculty and staff will consistently uphold high standards of collegiality by respectfully and directly communicating with others and working effectively as team members to advance the greater good of the Department, its vision and mission. We create a safe environment by acting in accord with our core values and with the University's five Principles of Community.

1.D. Values Statement

Faculty and staff in the Department of Occupational Therapy embrace and promote these core values:

- Collaboration: Working cooperatively and willingly with others toward a common good.
- Excellence: Being outstanding in all our endeavors.
- Honesty: Displaying truthfulness, integrity and authenticity.
- Innovation: Being agents of positive change.
- Respect: Treating others, and being treated with, dignity, regard, and honor.
- Service: Acting in ways that help, assist, and benefit others.
- Vision: Having a sense of destination and clear picture of what success looks like.

Section 2: Unit Administration, Operations, and Organization

2.A. Department Head

The Head is the Department's administrative officer whose duties are specified by this Code and the Manual (Academic Faculty and Administrative Professional Manual C.2.6.2). The Department Head is selected and his or her term of office is specified in the Manual (AFAPM E.4.3 and AFAPM C.2.4.2.2 respectively). The Department Head has general responsibility for all faculty and staff activities that may affect the Department, including promotion of its vision and mission, and that are in the best interest of the College and University. The Department Head advocates on behalf of Departmental programs and centers internally and externally. The OT Code specifies that the Department Head retains final decision-making authority based on current or anticipated Department, College, and University needs and priorities and input from individual faculty members and the Department's committees (other than in the case of tenure and promotion recommendations). The Department Head has responsibility for **strategic planning, program development, space and budget, and oversight of faculty and staff.** The Department Head:

- Makes decisions related to resource allocation and budget
- Fosters professional growth and development of faculty and staff, ensures that faculty and staff have adequate mentoring, and promotes a positive working culture
- Monitors faculty and staff performance, determines merit raises and contributes to decisions about equity, promotion, tenure, and termination
- Promotes philanthropic development and advancement activities and alumni relations
- Fosters collaborative relationships with other university departments and across the profession
- Oversees professional accreditation in coordination with the Academic Program Director

If the Department Head is temporarily unable to fulfill his/her duties for any reason, a regular full-time or regular part-time faculty member of the Department (usually the Academic Program Director) can act in his/her absence. In the case of prolonged absence, the Dean of the College appoints a temporary Department Head.

2.B Unit Leadership

Financial Officer

In conjunction with the Department Head and College financial staff, the departmental financial officer manages the departmental budget. The financial officer works closely with the directors of the department's centers on budget matters. The financial officer coordinates all financial transactions; ensures compliance with policies related to Human Resources, staff and faculty payroll, purchasing and travel; and is responsible for conducting annual evaluations of state classified staff as assigned. The financial officer also serves as the assistant to, and is supervised by, the Department Head.

Academic Program Director (APD)

The title, "Academic Program Director," is used in reference to oversight over the Department's two entry-level professional degree programs: the Master of Occupational Therapy (M.OT) and the Master of Science (M.S.). In coordination with the Department Head, the APD has primary responsibility for effective delivery of the curriculum. The APD represents the curriculum in local, national, and international professional communities. The APD collaborates with the Curriculum Committee, the Academic Fieldwork Coordinator, and the Admissions Coordinator, and reports to

the Department Head. The APD's responsibilities fall in 3 broad areas: (1) curriculum development, assessment and strategic planning; (2) accreditation; and (3) support to faculty and students. Duties of the APD include:

- Leading review of the curriculum to: ensure that it is implemented as designed and that fieldwork and experiential opportunities are integrated appropriately; identify and address areas in need of modification or development; and facilitate strategic planning
- Overseeing development of annual and interim reports to ACOTE, self-study and re-accreditation materials
- Serving as a resource in designing courses; assessing learning; teaching; classroom management; and peer teaching observations
- Participating in activities to support students (e.g., maintaining the Student Handbook; orienting students to the curriculum; addressing student complaints, appeals and issues of performance)

Director of the PhD Program

The responsibilities of the PhD Program Director include but are not limited to:

- Recruiting high quality applicants and overseeing admissions
- Overseeing student progression and building student support mechanisms
- Overseeing ongoing program evaluation and improvement
- Serving as a liaison among doctoral faculty and with the Department Head, the Associate Dean for Graduate Programs of the College and the Dean of the Graduate School
- Communicating to stakeholders and marketing the program

Academic Fieldwork Coordinator (AFWC)

The AFWC develops, oversees, coordinates, and manages the required fieldwork component of entry-level student education, ensuring it reflects ACOTE standards and supports and enhances the academic curriculum. The AFWC may be regular faculty, special appointment faculty, senior teaching appointment faculty, an administrative professional, or hold a joint administrative professional and faculty title. The AFWC will be an occupational therapist with ACOTE-required credentials and demonstrated expertise in occupational therapy fieldwork education. The AFWC reports to the Department Head. Duties include, but are not limited to:

- Advising students regarding selection and assignment to fieldwork sites and supporting students as needed
- Collaborating with fieldwork educators to ensure best practices and optimize student learning and performance
- Undertaking ongoing evaluations of the quality of the fieldwork program
- Collaborating with support staff regarding fieldwork data management, site recruitment and management, and student advising
- Overseeing contractual arrangements with sites (e.g., requirements for student health standards and background checks)
- Developing new experiences, particularly in emerging practice areas, nationally and internationally
- Teaching non-fieldwork academic courses or course components as negotiated with the Department Head

Director, Assistive Technology Resource Center (ATRC)

The ATRC Director manages all aspects of the ATRC's services, programs, staff and fieldwork students. The ATRC Director may be a faculty member, an administrative professional, or hold a joint administrative professional/faculty title. Ideally the ATRC Director is occupational therapist with a minimum of a Master's degree and demonstrated expertise in leading, managing, and delivering outcome-oriented, assistive technology services for individuals with disabilities or those at risk for disability. If the ATRC Director is an occupational therapist, he or she must maintain state registration through DORA. The Department Head oversees the selection and hiring of the ATRC Director consistent with University personnel and hiring policies. Duties include, but are not limited to:

- As formally requested by the CSU campus, ensure equal access to evidence-based technology and information for students and employees with disabilities as mandated by the Americans with Disabilities Act and Section 504 of the Rehabilitation Act
- Assist with building CSU's capacity to provide equal access to digital content and information
- Support occupational therapy faculty in the integration of assistive technology content throughout the curriculum. As negotiated with the Department Head, teach relevant content in the Department
- Engage in research and program evaluation to support the effective application of assistive technologies, universal design and accessible digital information
- Represent and serve as an advocate for the ATRC within the Department, College, University, nationally, and internationally and communicate with stakeholders and interested others about the ATRC
- Provide sound fiscal and budget oversight in cooperation with the Department's financial officer
- Report annually to the Provost's office and biannually to CSU's CIOSU Office (Centers, Institutes and Other Special Units) regarding ATRC activities and budget

Director, Center for Community Partnerships (CCP)

The CCP Director manages all aspects of the CCP's services, programs and staff within the Department, University and community. The CCP Director may be regular faculty, special appointment faculty, administrative professional, or hold a joint administrative professional-faculty title. Ideally, the Director will have a terminal degree in a related discipline. The Director will have demonstrated expertise leading, managing, and securing funding for outcome-oriented, community-based services for individuals with disabilities or those at risk for disability. In addition, he or she must have expertise in developing and maintaining collaborative partnerships with entities such as the University community, other relevant governmental agencies, K-12 schools, institutions of higher education, businesses, and programs. If the CCP Director is an occupational therapist, he or she must maintain state registration through DORA. The Department Head oversees the selection and hiring of the CCP Director consistent with University personnel and hiring policies. Duties include, but are not limited to:

- Provide fiscal and budget oversight in cooperation with the Department's financial officer
- Procure external grants and contracts to support and grow CCP's community outreach and research efforts
- Oversee the CCP as a fieldwork site for occupational therapy students

- Support faculty and participate in the integration of community-based service content and experiences throughout the occupational therapy curriculum
- Engage in research and program evaluation to expand the knowledge base that supports the effective delivery of outcome-oriented, community-based services
- Represent and serve as an advocate for the CCP within the Department, College, University, nationally, and internationally and communicate with stakeholders and interested others about the CCP
- Report biannually to CSU's CIOSU Office (Centers, Institutes and Other Special Units) regarding CCP activities as related to the function/mission of the CIOSU
- As negotiated with the Department Head, teach relevant content in the occupational therapy curriculum

2.C. Unit Personnel

2.C.1. Faculty

Throughout this document, the term "faculty" refers to tenured, tenure-track, and contract and continuing groups; information specific to a particular group will be highlighted as necessary in each section. Working individually and together, faculty are expected to advance the Department's mission and vision by engaging in some combination of teaching, research, and service to the department, college, university and profession as well as outreach to Colorado, the nation, and the world. Further, faculty are expected to commit to the College of Health and Human Sciences' principles of equity and inclusive excellence in all areas of their respective responsibilities.

2.C.2. Administrative Professionals

As described in Section AFAPM D.1.2 of The Manual, administrative professional positions are exempt from the State Personnel System under Colorado statutes but are not faculty positions. The classification of a position as an administrative professional position must be coordinated with Human Resource Services. Administrative professionals work to advance the Department's mission and vision through their contributions to service, outreach and practice; research, scholarship and creative activity; and teaching. Administrative professionals are also expected to commit to the College of Health and Human Sciences' principles of equity and inclusive excellence in all areas of their respective responsibilities. The various contributions of administrative professionals across these domains may also be undertaken campus-wide, throughout the state of Colorado, nationally and internationally.

2.C.3. State Classified Staff

State Classified employees are required to have a current and position description that clearly describes the job duties. Position descriptions are reviewed by certified Job Evaluation experts, exercising delegated authority from the State, to consistently and appropriately classify positions based on the assignment's primary purpose and nature of work. There are six types of State Classified positions: probationary, certified, trial service, conditional, provisional, or temporary. [see CO Classified Employee Handbook for specific guidelines and policies - Colorado Classified Employee Handbook]

2.C.4. Student Employees

All student employees are part-time employees; hired and working under applicable federal and state labor laws, as well as CSU policies. There are two types of student employees: student hourly and graduate assistants. Student employees in either classification are not eligible for benefits,

unless they are enrolled in less than five credit hours per semester, in which case they are eligible for the student employee retirement plan.

2.C.5. Voting Eligibility

For the purpose of transacting business at a department meeting, a simple majority of members of the faculty who are eligible to vote constitute a quorum. To be eligible to vote, faculty members and administrative professionals must hold permanent full time or permanent part-time positions (See Section AFAPM E.2 of the Manual for definitions of faculty). At the discretion of the Department Head, state classified staff with permanent full time or part time positions may also be eligible to vote. The Department Head may vote only in the event of a tied vote. Temporary or affiliate faculty may attend faculty meetings by invitation of the Department Head and may participate in deliberation and discussion, but not in final decision making and voting. Unless otherwise stipulated in the Code, voting will be by simple majority.

2.D. Committees

Standing and ad hoc committees provide a venue for focused planning and action on specific topics. Department committees formulate recommendations and advise the faculty, staff, and/or the Department Head. With the exception of the Tenure and Promotion Committee, the Department Head serves as an ex-officio member of all standing and ad hoc committees and may chair committees. Faculty and staff assignments to serve on committees are part of workload and are made by the Department Head based on Department needs balanced against the needs of faculty and staff. Committee chairs and members serve 3-year, renewable terms; however, justification is required for chairs to serve contiguous terms. When possible, a member elected to a college or university committee will serve as a member of the corresponding department committee. Members of committees are expected to consult regularly with other faculty and staff to obtain information necessary for effective deliberation. Department committees are responsible for gathering and reporting information and recommendations from/to faculty, staff, and the Department Head. Committee chairs and members participate in the orientation of new chairs and members and transfer committee records and files prior to the end of their term.

2.D.1. Department Standing Committees

Admissions Committee

Membership consists of a minimum of one faculty member and one staff member. The chair is appointed by the Department Head. Duties include working collaboratively with the Department Head to:

- Draft admissions criteria and processes for Department Head review and approval and faculty input, as appropriate
- Post application procedures, including selection criteria and timelines, are available on the Department's website
- Coordinate the review of applications and selection of students
- Coordinate Department application processes with the Graduate School

Code Committee

Membership consists of at least three members: one tenured or tenure-track faculty member, one contract or continuing faculty member, and one administrative professional or other Department member appointed by the Department Head. Duties include:

- Review and update the OT Code at least biannually. Oversee faculty review and approval. (Note: A 2/3 vote of faculty, excluding temporary and affiliate members, is required for approval.)
- Concurrent with code reviews, ensure alignment with the OT Student Handbook and other university or student policies
- Update links to other referenced documents such as the Manual, OT Student Handbook, on an annual basis

Curriculum Committee

Membership consists of at least two faculty members. The chair is appointed by the Department Head and is responsible for ensuring that the Department is represented at the College Curriculum Committee. She or he oversees and facilitates the ongoing review and improvement of the Department's academic programs consistent with College and University requirements as well as applicable accreditation standards established by ACOTE. Specific duties include:

- Receive and/or initiate suggestions and recommend improvements in the content and sequencing of courses to faculty for discussion or action, as appropriate.

- Engage the faculty in curriculum development and enhancement

- Following approvals by the APD and Department Head, prepare curriculum and course change forms and submit to the College Curriculum Committee and other bodies as designated by University Policy. Make corrections as directed

- Review and edit curriculum information included in departmental, college and university publications and other relevant communications

Leadership Committee

The Leadership Committee facilitates strategic dialogue and decision-making within the Department. The aim is to support communication among faculty and staff while streamlining meetings of the whole body. The Leadership Committee is chaired by the Department Head; members will include the department's financial officer; assistant to the head; and directors of the academic, fieldwork, and PhD programs. Other faculty or staff are invited as needed and any member of faculty or staff may request to attend. Members of the committee are expected to gather and disseminate relevant information to faculty and staff who do not serve on the Leadership Committee. The Department Head will report on relevant discussion at Department meetings and engage the entire group as appropriate. All faculty members can request additional information from the Leadership Committee. The committee meets twice monthly or as needed.

PhD Committee

Membership consists of a minimum of three faculty members. The Director of the PhD Program serves as chair. The Committee reviews applications for admittance into the PhD program and assists the Director with duties outlined above.

Scholarship Committee

Membership consists of at least two faculty members. The Committee reviews applications for Department scholarships based on published criteria, solicits input on applicants from other faculty, and makes awards. The chair is appointed by the Department Head and serves as a member of the College Scholarship Committee. The Chair ensures that:

- Timely and accurate information on Department-, College-, and University-level scholarships is available to students

- The College Scholarship-Awards Committee is aware of scholarship recipients.

Tenure and Promotion (T&P) Committee

All tenured OT faculty, except the Department Head, are standing members. However, the Department Head may be invited to attend committee meetings. Faculty with administrative appointments of more than half time may not serve (Manual, AFAPM E.10.5). When promotion decisions are being considered, the committee members must be at, or above, the rank the candidate is seeking. A faculty member with a clear conflict of interest is expected to recuse oneself using the process described in the Manual, AFAPM E.10.5; however, the Committee Chair can also

exclude a faculty member with a strongly perceived conflict of interest. For promotion of a tenured or tenure-track faculty member, only tenured committee members are voting members. For promotion of a contract or continuing faculty member, all committee members have voting rights and a majority of voting members should be contract and/or continuing. The committee requires a minimum of three voting members. If fewer than three eligible voting members are available within the department, then additional eligible voting faculty members will be selected from other departments (Section AFAPM E.13.2 of the Manual).

Committee duties are described in Section AFAPM E.10 of the Manual, Faculty Tenure Policy. Committee recommendations related to tenure or promotion for a specific candidate reflect the policies and processes in the Manual (AFAPM E.10) in addition to AFAPM E.12, Performance Expectations for Tenure, Promotion and Merit Salary Increases and AFAPM E.13.

2.D.2. Department Ad Hoc Committees

The Department Head forms ad hoc committees as needed to address specific, time-limited tasks. Examples include ad hoc committees to design a new course, develop advising tools, or evaluate a program component visits from Yamagata and the Knowledge Exchange. The Department Head serves as an ex-officio member of all ad hoc committees and may chair ad hoc committees.

2.D.3. College Committees

Typically, faculty members serve a 3-year term on a standing college committee. College committee assignments are made by the Department Head reflecting a balance of Department and individual faculty needs and interests. Time commitments, activities, and faculty roles (member v. chair) associated with college committees vary. Thus, faculty member workload associated with college committee membership or leadership is determined by negotiation between the faculty member and the Department Head.

2.D.4. University Committees

Typically, faculty members serve a 2- or 3-year term on university committees. University committee assignments are made by the Department Head in collaboration with the faculty member reflecting a balance department and individual faculty needs and interests. Time commitments, activities, and faculty roles (member v. chair) associated with University committees vary. Thus, faculty member workload associated with university committee membership or leadership is determined by negotiation between the faculty member and the Department Head.

2.E. Units Meetings

Department meetings provide an important venue for discussion, planning and major decisions that influence the overall direction of the Department including policies. These meetings are held a minimum of once a month during the academic year. All faculty, administrative professionals, and state classified staff are expected to attend department meetings. The Department Head serves as Chair for department meetings. Minutes are taken at every department meeting.

Decision-making is facilitated by the Department Head and involves faculty, administrative professionals, and state classified staff. In making decisions that impact the overall program and direction of the department including policies, the Department Head and faculty will work with others in a manner that is respectful, honest, collaborative, transparent and committed to the greater good of the Department as a whole.

Section 3: Faculty Administrative Policies and Procedures

3.A. Faculty Appointments and Ranks

There are six basic types of faculty appointments: tenured faculty, tenure-track faculty, contract faculty, continuing faculty, adjunct faculty, and transitional faculty. Secondary types of faculty appointments include joint appointments, faculty affiliate, and visiting faculty. See Section AFAPM E.2 of the Manual for descriptions of both basic and other types of faculty appointments. The list below shows how the six faculty ranks are grouped into four levels. Tenure track is limited to the professor series, whereas contract and continuing faculty can be in the professor or instructor series.

I.   Instructor

II.   Senior Instructor   or   Assistant Professor

III. Master Instructor   or   Associate Professor

IV.   Professor

Note: moving within a level (e.g., senior instructor to assistant professor or vice versa) is not considered a promotion, but rather a title change to match new responsibilities. Moving between tenure-track and contract or continuing is possible.

<u>Selection and Hiring</u>

Selection of faculty is made according to University policy and guidelines established by the campus Office of Equal Opportunity (OEO). Once the position has been approved and authorization has been given by the Provost to begin the search, the Department Head appoints the Search Committee Chair and committee members. The committee, working through the college OEO coordinator, carries out the search according to established procedures. The selected candidate for the position is subject to approval by the OEO and Colorado State University Central Administration. In addition, a background check is required on the selected candidate before an offer can be made.

<u>Contract Appointment</u>

Contract faculty appointments may be either full-time or part-time. See Section AFAPM E.2.1.3 of the Manual for detailed information of the distinguishing characteristics of Contract Faculty appointments. Select characteristics include:

- All contracts have a specified ending date and a term of at least two years (i.e., one-year contracts are not allowed). At least one year prior to the expiration of the contract, the faculty member shall either be given a new contract or informed that the current contract may be allowed to expire. If the contract is allowed to expire, the appointment will be converted to a continuing faculty appointment, without loss of rank, unless the contract is renewed by written agreement of both parties.
- Contract faculty are eligible to serve on committees and have voting rights in the governance of the Department and College with the exception of decisions relating to tenure.

<u>Continuing Appointment</u>

Continuing faculty appointments may be either full-time or part-time. See Section AFAPM E.2.1.4 of the Manual for detailed information of the distinguishing characteristics of Continuing Faculty appointments. Select characteristics include:

- There is no specified ending date. Rather, the appointment is "at-will" and is subject to termination by either party at any time. Section AFAPM D.5.6 of the Manual describes termination of "at will" appointments, which include "at will" faculty appointments.
- Continuing faculty are eligible to serve on committees and have voting rights in the governance of the Department and College with the exception of decisions relating to tenure.
- A continuing faculty member who has been employed with this appointment type for at least ten semesters should be considered for conversion to a contract faculty appointment. The faculty member may submit a formal request in writing to the Department Head for such a conversion. The formal request shall be responded to in writing by the Department Head with an approval or denial of the request. In the case of a denial, the reasons for the denial shall be stated in writing in the response.

Adjunct Appointment

Adjunct faculty appointments may be either full-time, part-time, or less than half-time. Adjunct faculty appointments are intended for situations where the previous types of appointment are not appropriate. These include the following situations:

- Employment at less than half-time; however, appointments at 50% effort or greater are allowed for two semesters only.
- Employment on an occasional basis, rather than being for every (Fall and Spring) semester. An approved leave without full-time or part-time service (such as Family Medical Leave) shall not constitute employment on an occasional basis.
- Employment for only one or two semesters total (Fall and Spring).

See Section AFAPM E.2.1.5 of the Manual for detailed information of the distinguishing characteristics of Adjunct Faculty appointments. Select characteristics include:

- There may or may not be a specified ending date.
- The appointment is "at-will" and is subject to termination by either party at any time. Section AFAPM D.5.6 of the Manual describes termination of "at will" appointments, which include "at will" faculty appointments.

Other Non-Tenure Track Faculty Appointments

Other non-tenure track appointments include joint (inter-departmental) appointments, joint academic and administrative professional appointments, faculty affiliate, and visiting faculty. See Sections AFAPM E.2.2.1 – E.2.2.4 of the Manual for descriptions of these special-situation appointments.

3.B. Workload Policy

Global faculty responsibilities are described in the Manual – see AFAPM D.3 for general responsibilities as a professional and University employee, AFAPM D.9 for the code of ethical behavior, and AFAPM E.5 for faculty-specific responsibilities.

Faculty workload includes a combination of teaching, research, and service. Effort distributions vary based on current Department needs and faculty interests. In Occupational Therapy, a standard academic year workload for tenured and tenure-track faculty includes 40% teaching and research advising; 40% research, scholarly, and creative activities; and 20% service. Workloads for contract and continuing faculty are typically more singularly focused (e.g., 80% teaching and 20% service for contract and continuing faculty in the instructor series; 70% teaching, 10% research 20% service for contract and continuing faculty in the professor series).

Because the Department seeks to build on the strengths of all members, faculty workloads may vary based on strengths of individual faculty members in addition to the needs of the Department as a whole. Faculty members who maintain a high level of research productivity may negotiate a higher percent effort in research and scholarship and a lower percent effort in teaching and advising. Conversely, faculty members whose main passions and energies are devoted to teaching may negotiate a higher percent effort in teaching and advising and a lower percent effort in research and scholarship. Each faculty member is expected to negotiate his or her workload with the Department Head. Faculty workloads are negotiated on an annual basis no later than the spring semester before the next academic year. Negotiations between the Department Head and faculty pertaining to workloads will take into consideration the needs of the Department in addition to those of the faculty member.

The Department Head may change a faculty member's negotiated workload in response to unforeseen circumstances if doing so is in the best interest of the Department as a whole. Should this situation occur, the Department Head will notify the faculty member of the changes immediately. Should a faculty member anticipate changing circumstances that will impact workload (e.g., new grant funding or service commitments), he or she will notify the Department Head immediately in order to discuss workload implications proactively.

3.B.1. Service

(Section AFAPM E.12.3 of the Manual) Faculty must engage in service to both the university (including Department and College) and profession. Service activities must advance the vision and mission of the Department, as well as the interests of the college and university, community, and occupational therapy or related discipline.

Committee work at all levels can vary from very low effort (one or two meetings a year with little work outside of meetings) to very high effort (multiple hours per week). Departmental committee assignments are made by the Department Head based on department needs balanced with individual faculty needs and interests. Service-related workload is negotiated with the Department Head based on the expected effort involved; the vision, mission, and current needs of the Department; and individual career trajectory, interests, and responsibilities of the faculty member. While it is expected that senior, tenured faculty will undertake greater service roles, all faculty will participate in service activities to contribute new perspectives, develop expertise, and further the mission of the department, college, and university. Service is considered in applications for tenure and promotion. **See Appendix D for the Department's service philosophy and explicit criteria for how service impact is evaluated.**

Faculty generating personal income through consulting, fee-for-service, workshop revenues must report these activities in the annual Conflict of Interest form completed by all faculty members. Conflict of interest is fully discussed in Section AFAPM D.7.7 of the Manual. All faculty are responsible for being fully familiar with this content if involved in consulting relationships with external organizations.

3.B.2. Teaching

(Section AFAPM E.12.1 of the Manual) All faculty share responsibility for teaching and advising. Teaching includes, but is not limited to, classroom and/or laboratory instruction, individual tutoring, supervision and instruction of student researchers, clinical teaching, field work supervision and training, preparation and supervision of teaching assistants, service learning, outreach and engagement, and other activities that organize and disseminate knowledge. Supervision or guidance of students in recognized academic pursuits that do not confer any University credit also is considered teaching. **See Appendix D for the Department's teaching philosophy and explicit**

criteria for how teaching effectiveness is evaluated.

Regarding classroom instruction, one credit of a Type A course = 3.3% effort; hence 12 credits = 40% effort for the academic year. One credit of a Type B course = .33% effort. Regarding research mentorship, one MS thesis student or one PhD student = 3.3%. The standard teaching of 12 credits per year may include seminar, lab, recitation, or lecture courses. Faculty workload percentages in teaching and advising also may reflect significant effort in teaching-related activities such as development of new courses, significant course revisions, curriculum innovation, academic and research advising, or mentoring other educators. All academic faculty are expected to teach a minimum of one 3-credit course per academic year unless special arrangements have been negotiated with the Department Head based on extramural funding and/or negotiated workload.

3.B.3. Research

(Section AFAPM E.12.2 of the Manual) The Department recognizes and values research across four domains of scholarship: discovery, integration, teaching and learning, and application. Each tenure-track faculty member is expected to participate in ongoing scholarship that advances the mission and vision of the department as well as the larger professional, academic, and global communities. **See Appendix D for the Department's research philosophy and explicit criteria for how research productivity is evaluated**.

Contract and continuing faculty in the professor series are expected to participate in research/scholarship; the percentage of effort is negotiated with the department head but is typically 10-20%. Faculty in the instructor series may participate in research as a part of his or her workload, as negotiated with the Department Head, but this is not considered an expectation of all instructor series appointments. In other words, contract and continuing faculty are eligible for release time to engage in scholarly activity. The timing and nature of such release time must be negotiated with the department head.

All faculty- or student-generated research proposals must be reviewed and approved by at least one of the following Colorado State University boards, according to the type of research conducted:

- Protection of human participants - Institutional Review Board (IRB).
- Protection of animal subjects - Institutional Animal Care and Use Committee (IACUC).
- Ethical use of controlled substances - Drug Review Committee (DRC) Responsible use of biohazardous agents and rDNA - Institutional Biosafety Committee (IBC).

All Principal Investigators (PIs) and Co-PIs involved in human subjects research protocols must have completed CSU's Human Subjects Protection sponsored by the Institutional Review Board for Colorado State University.

Faculty are encouraged to obtain external funding to support their research programs. The following describes the guidelines for '**buying out**' of teaching effort for additional protected research time for faculty with external grant funding. Faculty may buy out of one (three credit) course or pay summer salary with the first 10% of funding. The next 10% (20% total funding) must be applied to cover their current protected research effort. With each additional 10%, faculty can buyout of additional courses or pay summer salary.

3.B.4. Engagement

Outreach and engagement activities may be integrated into a faculty's teaching, research, and/or service efforts. These activities are defined as the development and implementation of education, consultation, or service activities for the benefit of individuals, groups, populations, or organizations. Faculty members negotiate the "placement" of these activities in their effort distribution with the

13

Department Head annually. Outreach and engagement activities are not a mandated component of every faculty member's effort distribution, but may be included when appropriate to the mission of the department or college and the goals of the faculty member.

3.B.5. Summer Assignments

Summer salary may be available for activities related to specified Departmental needs or initiatives.

3.B.6. Sabbatical Leave

As stated in Section AFAPM F.3.4 of the Manual, the University offers tenured faculty members the possibility of sabbatical leaves. According to University policy, a faculty member is not eligible for sabbatical leave until the accumulation of six (6) years of service as a regular faculty member at CSU since his or her initial appointment or most recent sabbatical leave. A faculty member in a tenure-track position may apply for sabbatical leave prior to being granted tenure, and such leave may be granted subject to the condition that the faculty member receive tenure prior to beginning the sabbatical leave. Thus, a faculty member must have tenure in order to take sabbatical leave.

3.C. Formation of Promotion and Tenure Committees

A minimum of 3 tenured faculty members constitutes a committee. If a committee of 3 cannot be constituted from among OT faculty, additional members are drawn from eligible faculty in the College or University using the following process: (1) The Department Head works with existing Departmental members of the committee to identify eligible faculty of similar disciplines to those of the candidate for inclusion in a pool of potential committee members. (2) Approval of the pool of eligible non-Departmental faculty is made by majority vote of the current committee members plus the Department Head; (3) Committee member(s) are then randomly selected from the eligible pool; (4) if an invited committee member declines to participate, another member is randomly selected from the pool.

The T&P Chair is typically a tenured full professor from the Department elected by a majority of committee members. If the committee is NOT reviewing faculty moving from associate to full professor, the committee may elect a tenured associate professor to serve as chair for a 3-year, renewable term. If the committee is then considering a candidate seeking promotion to full professor, the membership of the T&P committee may be reconfigured for the duration of the tenure review process (approximately 1 year) per the process described above and a chair elected from among the reconfigured members.

The Chair is responsible for managing the T&P process for candidates in a fair and expeditious manner, which includes facilitating a process by which tenure-track faculty members are mentored by a member of the T&P Committee, chosen by the tenure-track faculty member if preferred. The Chair also convenes meetings of the committee, coordinates candidate support and annual T&P reviews based on the established processes and timelines (Tables 1-3), oversees all required communications and documentation, solicits and reviews external letters, reviews portfolios and maintains complete tenure and promotion files for each candidate. The chair of the T&P Committee is a member of the College's Tenure and Promotion Advisory Committee.

3.D. Procedures for Tenure

Awarding of tenure is based on documentation of demonstrated and continuing commitment to academic excellence across the three primary domains: teaching, research, and service. While there are no explicit criteria for awarding tenure, a faculty member's productivity and value to the academic community, professional and personal integrity, intellectual qualities, and projected return on investment all contribute to a recommendation for tenure. Tenure is recognition of the

University's commitment to and investment in the faculty member. Thus, actively seeking to improve the quality and reputation of the institution through service to the Department, College, and University are important factors in the tenure decision. [see Section 4.C.1. for information on the comprehensive review process for tenure track faculty]

Tenure may be granted at the time of appointment. However, all tenure applications must be submitted for committee review. Tenure may be withheld pending a satisfactory completion of probationary service at the University. The maximum period of non-tenured probationary service for tenure-track faculty at CSU is six years. However, a faculty member may request an extension due to exceptional circumstances or related to the Americans with Disabilities Act (Section AFAPM E.10.4.1.2 of the Manual). Time served as contract or continuing faculty cannot be applied to time on tenure-track.

3.E. Procedures for Promotion of Tenure-Track and Tenured Faculty

See Section 4.C and Table 2 in the OT Code for details on the process and the timeline for submitting a promotion and/or tenure application.

3.F. Procedures for Promotion of Contract and Continuing Faculty

See Section 4.C and Table 2 in the OT Code for details on the process and the timeline for submitting a promotion application.

3.G. Faculty Appointments to Graduate Student Committees

To serve as major advisor for a graduate student thesis or dissertation committee, a faculty member must have knowledge and skill in research design and demonstrate evidence of experience with research endeavors. Assistant professors who have not previously chaired an MS or PhD committee must co-chair the respective committee together with an experienced supervisor, prior to serving as chair. Procedures and expectations for graduate student advisory committees are stated in OT Student Handbook (MS and MOT students), the PhD Student Handbook and University Graduate and Professional Bulletin.

Section 4: Faculty Evaluation, Tenure and Promotion Standards, and Disciplinary Actions

(Section AFAPM E.14 of the Manual) All faculty members, including department heads and deans, are subject to performance reviews. These reviews include annual reviews of all faculty and comprehensive reviews of tenure-track and tenured faculty members. Performance reviews are intended to facilitate continued professional development, to refocus professional efforts when appropriate, to assure that faculty members are meeting their obligations to the University, and to assist faculty in achieving promotion or tenure. Tables 1-3 show the timelines with key responsibilities and deadlines for the three types of reviews. These reviews must be conducted in such a way that they are consistent with the tenure system, academic freedom, due process, and other protected rights.

4.A. Annual Performance Evaluation

(Section AFAPM E.14.1 of the Manual.) The annual review is conducted by the Department Head and based on the calendar year. Annual reviews are for the purpose of evaluation for merit salary increases, providing assistance to faculty members to improve their performance when needed, and the early identification and correction of perceived weaknesses and deficiencies in performance. Faculty are evaluated on the basis of their individual effort distributions and the Department's Evaluation Benchmarks (Appendix D). The academic fieldwork coordinator(s) and administrative

professionals may choose to be evaluated on the basis of 1) the Department's Evaluation Benchmarks OR 2) their specific job description.

Each faculty member is responsible for submitting a self-assessment to the Department Head no later than February 1 following the end of the calendar year for which they are being evaluated. The self-assessments of faculty who are eligible and choose to be evaluated based on their job description must include: 1) a comprehensive and reflective assessment of their performance related to each area of responsibility in their job descriptions; and 2) evidence supporting the self-assessment. The Department Head may also seek both internal and external evaluations of the faculty member's performance that are specifically related to his or her responsibilities. The written self-assessments of faculty who use the Department's Annual Evaluation Benchmarks must include: 1) information required by the Faculty/Staff Activity System (FSAS); 2) comprehensive and reflective assessments of their performance in each benchmark area; and 3) evidence-supporting data, as described in the benchmarks.

The Department Head's evaluation must be in writing and discussed with the faculty member during an annual review meeting. Based on review of the faculty member's self-assessment, the Department Head assigns a rating of superior, exceeds expectations, meets expectations, below expectations, or unsatisfactory in each area and overall. Decisions concerning tenure, promotion, and merit salary increases are linked to the evaluation of the faculty member's work in the areas of teaching, research, and service although annual evaluations are only one piece of the tenure and promotion review. Annual reviews are highly individualized based on each faculty member's unique goals and workload assignments. During the annual review, the Department Head and faculty member make a plan for the upcoming year, including a written statement of proposed goals and an overview of anticipated work responsibilities.

The faculty member receives a copy of the review. Copies are also maintained in the faculty member's personnel file and in the Dean's Office. Annual review documents are forwarded to the Dean for review per College policy. Any suggestions, questions, and/or concerns are to be discussed first with the Department Head. A faculty member has a right to prepare a written response to his or her annual review, which becomes part of the documentation. As well, the faculty member may grieve her or his annual review that was completed by the Department Head according to the procedures outlined in AFAPM Section K of the Manual.

See Appendix D for detailed descriptions of how teaching effectiveness, research productivity, and service impact are evaluated, and for lists of specific benchmarks within each domain.

Table 1. Annual Performance Evaluation Timeline.

DATE	ACTION
Feb 1	Annual self-evaluation submitted to Department Head
Early Apr	**Candidates** for promotion and/or tenure submit the following documents to the Committee for review: • Current year annual self-evaluation. • Department Head evaluation summary. • Updated CV or FACS.
Mid to late Apr	T&P Committee: • Review materials using department and university guidelines. • Meets to discuss progress towards promotion and/or tenure based on annual review materials. • Drafts letter summarizing faculty's accomplishments and recommendations for continued progress towards promotion and/or tenure based on the annual review materials.

DATE	ACTION
Late Apr	**T&P Committee** sends final letter to the Department Head. Copies of all letters are also forwarded to Financial Officer for department personnel file.
Sep	**Department Head** and **T&P Chair** review all faculty for reappointment, tenure, promotion.

4.B. Comprehensive Midpoint Probationary Period Review of Pre-Tenured, Tenure-Track Faculty

(Section AFAPM E.14.2 of the Manual) A comprehensive performance review of each tenure-track faculty member shall be conducted by the midpoint of his or her probationary period at CSU. The normal probationary period for an assistant professor is six years so the midpoint review would be conducted by the end of the third year. If, for example, an assistant professor were given two years of credit for prior service, then the probationary period at CSU could be reduced to four years. In that case, the midpoint review would be conducted by the end of the second year.

There is no probationary period or typical timeline for contract and continuing faculty. However, after five years in rank, all faculty are eligible to be considered for promotion (Section AFAPM E.13 of the Manual). Thus, all faculty are expected to receive a mid-point (3rd year) review.

The midpoint review will be conducted by the Department T&P Committee. The faculty member will prepare and submit the following materials to the Committee: 1) self-evaluation for the current year's annual review, 2) Department Head summary, and 3) updated versions of Parts I, II, and VII (appendices) from the Documentation for Tenure and Promotion Application, which is available through the Office of the Provost. One of the following three outcomes must be selected by a majority of the Review Committee: 1) the faculty member is making satisfactory progress toward tenure and promotion; 2) there are deficiencies, but if they are corrected satisfactorily, the faculty member will be making satisfactory progress toward tenure and promotion; or 3) the faculty member has not met the stated requirements for the position in one or more focus areas, and the Review Committee recommends against further appointments.

Upon completing the midpoint review, the Review Committee shall prepare a written report. A copy of this report shall be given to the faculty member, who shall then have ten working days to prepare a written response to this report if he or she desires to do so. Both the report and the faculty member's response shall be forwarded successively to the department head, the college dean, and the Provost. Each administrator may add written comments, and copies of these comments will be given to the faculty member, the Review Committee, and each of the administrators. A final comprehensive performance review is required prior to a recommendation concerning tenure.

The evaluation process and standards are intended to be consistent with the Provost's Guidelines for promotion and tenure and with sections AFAPM E.12 and AFAPM E.14 of the Manual. See Section 4.E and Appendix A of the OT Code for explicit guidelines for promotion and tenure.

Table 2. Comprehensive Midpoint Probationary Period Review Timeline.

DATE	ACTION
Feb 1	Annual self-evaluation submitted to Department Head
Early Apr	**Candidates** for promotion and/or tenure submit the following documents to the Committee for review: • Current year annual self-evaluation • Department Head evaluation summary • CSU Tenure & Promotion materials (Sections, I, II & VII plus prepared appendices).
Mid to	T&P Committee:

DATE	ACTION
late Apr	• Review materials using department and university guidelines. • Meets to discuss progress towards promotion and/or tenure based on annual review materials. • Drafts letter summarizing faculty's accomplishments and recommendations for continue to progress towards promotion and/or tenure based on the submitted dossier. • Provides feedback on content and format of draft dossier in a separate memo. • The final letter is given to the **Candidate**, who will have 10 days to prepare a written response to the letter if he or she desires to do so.
Late Apr	**T&P Committee** sends final letter to the Department Head. **Department Head** evaluates dossier and writes letter for candidate. Copies of all letters to be forwarded to Financial Officer for department personnel file. Revision suggestions forwarded to the candidate.
Apr – 1st week	**Candidate** response (optional) due back to the T&P Committee Chair.
Mid-Apr	**Department Head** submits mid-point reviews (and candidate's response) to the Dean.
Sep	**Department Head** and **T&P Chair** review all faculty for reappointment, tenure, promotion.

4.C. Comprehensive Performance Reviews

4.C.1. When Applying for Promotion or Tenure

The final comprehensive performance review of each tenure-track faculty member shall be conducted by the end of his or her probationary period for tenure or when electing to apply for promotion. There is no probationary period for contract and continuing faculty. However, all faculty members being considered for promotion and/or tenure will typically be in their current rank for 5 years and engaged in teaching and advising, research and other creative activity, and University and professional service. This timeframe may be shortened if the faculty member was given credit for prior service in the same rank at a similar university or if he or she is electing to apply early.

The Department T&P Committee will conduct the formal review of the faculty member's dossier in the fall (October) of the stated year. The faculty member will prepare and submit the following materials to the Committee by July: 1) self-evaluation for the current year's annual review, 2) Department Head summary, 3) the names and contact information for three potential external reviewers; and 4) a complete dossier following the format from the Documentation for Tenure and Promotion Application, which is available through the Office of the Provost.

Tenure track and contract and continuing faculty in the Professor series must include no fewer than five evaluations from reviewers external to the University. Contract and continuing faculty in the Instructor series applying for Senior Instructor and Master Instructor must include one evaluation and three evaluations, respectively, from reviewers external to the Department, but internal to the University.

After the formal Committee vote regarding the faculty member's bid for tenure and/or promotion, the Committee Chair writes and distributes a draft summary of the review meeting to the T&P Committee requesting each member's written feedback. The report includes the results of the Committee's vote; summaries of the evidence justifying the Committee's decision; and majority and minority views, if the vote is not unanimous. The Committee Chair then revises the Review document to reflect the feedback from the Committee members. The final version of the review document is then reviewed and approved by the Committee. The final report must include one of the following statements: 1) The faculty member has met the stated requirements for tenure in all required areas of responsibility and the T&P Committee recommends tenure or 2) The faculty

member has not met the stated requirements for tenure in one or more areas of responsibility, and the T&P Committee recommends against granting tenure. The Chair additionally fills out the required CSU Summary Statement of Tenure and Promotion Recommendation form on behalf of the T&P Committee, and places both documents in the appropriate sections of the dossier notebook. The Chair then forwards the Review document to the Department Head and the faculty applicant.

After reviewing the dossier and Committee's recommendation, the Department Head meets with the applicant to discuss the Committee's recommendation if the applicant requests such a meeting. The Department Head then writes his/her response to the application and Committee's recommendation. The procedure for processing the OT Department Head recommendation for or against tenure/promotion beginning with the Department Head's Review of the T&P Committee's recommendation is documented in the Manual, beginning in Section AFAPM E.10.5.1. The candidate for tenure/promotion is expected to be familiar with this process. The Department retains a copy of the Review and the Summary Statement in the applicant's file and distributes copies of the Review to all Committee members. The Committee's and Department Head's Review, along with the written Summary Statement form are then forwarded to the Dean and Provost.

Table 3. Comprehensive Performance Review Timeline.

DATE	ACTION
Feb 1	Annual self-evaluation submitted to Department Head
Early Apr	**Candidates** for promotion and/or tenure are encouraged to submit the documents listed below to the Committee for review. It is not always possible for the Candidate to assemble their materials at this time, but the Committee requests the materials early, so the Candidate will have time to make recommended revisions prior to the Fall T&P deadlines. • Current year annual self-evaluation • Department Head evaluation summary • CSU Tenure & Promotion materials (Sections, I, II & VII plus prepared appendices).
Mid-May – Mid-Jun	**Candidate** forwards suggestions of possible external evaluators to T&P Committee. Candidate should also provide a list of individuals whom they feel would be inappropriately biased. **T&P Committee** identifies evaluators in candidate's field of research and prepares a list of up to 10 possible reviewers.
Mid-Jun	**Department Head** determines whom to solicit letters from and contacts selected external reviewers, inviting them to serve. The candidate is not told who will be asked to evaluate the dossier. **Candidate** prepares the following materials to be sent to the external evaluators: • Updated CV, in CSU T&P required format • A selection of 4-5 publications that depict the candidate's growth in her/his research program. • A Personal/Professional Statement, explaining the candidate's work and philosophies in the three areas of teaching, research, and service. This document is not included in the final Dossier submitted to the Department, College, and University; however, this document helps educate the external evaluators about the Candidate's work. T&P Committee Chair: • Provides information and guidance to the Candidate as she/he prepares the packet to be sent to external reviewers. • Provides feedback and editing information from the T&P Committee, related to suggested revisions. • Also provides feedback and revision suggestions to the Candidate on his/her Personal Statement.

DATE	ACTION
Early Jul	**Department Head** sends a cover letter and Candidate's packet of materials (described above), to individuals who have agreed to serve as external evaluators. **Candidate** may select early dossier review by Department Head and Dean.
Sep	External letters due September 1st. **Department Head** and **T&P Chair** review all faculty for tenure and/or promotion. **T&P Committee** offers informal assistance to Candidates as they finish their dossiers for submission.
Oct – 1st week	**Candidate** submits dossier materials. Dossier guidelines include: • CSU application (found on the [Provost's website, Faculty and Administrative Professionals page, Promotion and Tenure section](#))
Oct – 2nd week	**T&P Committee** members review materials using department and university guidelines. **T&P Committee** meets to discuss promotion and/or tenure based on T&P materials. A vote must be taken by Committee members, and the exact counts (In favor, not in favor, abstain) must be included in the review letter and Memo that are both included in the candidate's dossier. Summary **T&P Committee** letter addressed to the candidate, to include summary of the candidate's accomplishments and recommendations for/against promotion and/or tenure. **T&P Committee** feedback on content revision suggestions, as well as feedback on the format and composition of the draft dossier is given to the candidate in a separate memo. The final letter is given to the **Candidate**, who then has five business days to prepare a written response to the letter or to give feedback to the T&P Committee Chair on the accuracy of the information. The Committee may revise the letter based on the candidate's suggested changes.
Oct – 3rd week	Final committee letter sent to the **Department Head**. Copies of all letters are placed in the candidate's departmental file. **Department Head** evaluates dossier and forwards recommendation, along with the T&P Committee's recommendation to the Dean.
Oct 31	Final date that T&P dossiers can be turned in to the Dean's Office.
Mid-Nov	**T&P Chair** presents the Candidate's dossier, answers questions, and assuming the Committee has voted in favor of the Candidate, advocates for the Candidate, at the CHHS Dean's T&P Advisory Committee Mtg.

4.C.2. Post-Tenure Review Phase I

(Section [AFAPM E.14.3](#) of the Manual) Phase I comprehensive performance reviews of tenured faculty members are conducted at five year intervals, beginning in the fifth year after obtaining tenure. A Phase I Review shall be based upon a summary of all annual reviews since the last comprehensive review or the acquisition of tenure or promotion; an updated curriculum vitae; a self-analysis by the faculty member, including both strengths and weaknesses; and a statement by the faculty member of professional goals and objectives. The department head shall provide an overall assessment of the faculty member's performance, and the faculty member shall be given a copy of this evaluation. As part of the overall assessment of the faculty member's performance, the department head must select one of the following three outcomes:

a) The faculty member's performance is satisfactory and no further action is necessary;

b) The faculty member has deficiencies which the academic supervisor believes can be remedied without implementing a Phase II Comprehensive Performance Review; or

c) The faculty member's performance is sufficiently unsatisfactory that a Phase II Comprehensive Performance Review shall be conducted.

4.C.3. Post-Tenure Review Phase II

A Phase II Comprehensive Performance Review is initiated when the department head decides that

a tenured faculty member's performance in a Phase I Review was not satisfactory, or it may be initiated in response to substantial neglect of assigned duties as described in Section AFAPM E.15.4.1 of the Manual. Initiation of a Phase II Review is not grievable by the faculty member. See Section AFAPM E.14.3.2 for detailed information on the process for and consequences of Phase II performance reviews.

4.D. Annual Probationary Period Review of Pre-Tenured, Tenure-Track Faculty

Tenure-track faculty will submit the current Department Head's annual evaluation report and an updated CV to the T&P Committee each spring. The purpose of this additional round of review is to assess recent accomplishments and evaluate progress relative to the faculty member's promotion and tenure timeline. The T&P Committee will send a letter summarizing the members' comments and suggestions to the faculty member by June 1.

4.E. Promotion Standards for Tenure-Track and Tenured Faculty

Establishing and maintaining a quality academic program that serves the mission of the Department and provides opportunities for professional growth relies on the peer review process using agreed-upon criteria clearly defined by the faculty. Further, the T&P Committee must be committed to confidentiality, objectivity, consistency, fairness, and recognition of diversity among faculty. The T&P Committee evaluates the credentials, qualifications, and effectiveness of faculty members applying for promotion and/or tenure. The Committee's recommendation (for or against) is forwarded on to the Department Head who conducts a similar review before sending his or her recommendation – along with the Committee's – to the College Dean.

Faculty responsibilities in the Department of Occupational Therapy span three academic domains: teaching and advising, research, and service. For favorable promotion and tenure recommendations, faculty must demonstrate scholarly activity in teaching, research, or service over a several-year period. The criteria for promotion and/or tenure must be met at the time of application, but faculty need not exhibit simultaneous productivity in all three areas. Varying degrees of achievement reflect the expectation that faculty members will show growth in creativity, productivity, and responsibility as they advance through the ranks. Promotion and/or tenure mark individual milestones for faculty. Thus, it is the faculty member's responsibility to plan his or her career to ensure timely and rewarding growth in the context of the Department's and Institution's missions and growth.

See the Provost's Guidelines for promotion and tenure and sections AFAPM E.10, AFAPM E.12, AFAPM E.13, and AFAPM E.14 of the Manual for additional background and guidance on the process and expectations for promotion and tenure at CSU.

Any tenured or tenure-track member of the faculty can propose changes in tenure and/or promotion standards, criteria or procedures. Proposed changes will be submitted to the T&P Committee Chair who, in turn, submits them to the full T&P Committee for discussion. Any recommended changes will be reviewed by the entire faculty. If recommended changes are approved by a 2/3 vote of eligible faculty, they will be added to the Department's Code.

4.E.1. Appointment as Assistant Professor (Tenure-Track)

The assistant professor is an individual who demonstrates clear commitment to an academic career and meets the criterion of **competence** as an educator, researcher, and/or practitioner. This is an individual whose scholarly productivity is developing.

The assistant professor is an individual who:

1. Has earned a doctoral degree or a terminal degree in his or her profession at time of hire.

2. Maintains current professional credentials as appropriate.

3. Demonstrates competence in assigned role(s). The number of contributions / activities within each domain and the amount of evidence demonstrating competence should mirror the faculty member's effort distribution across the three academic domains: teaching and advising, research, and service.

See Appendix A for examples of competence within each academic domain.

4.E.2. Promotion to Associate Professor (Tenure-Track)

The associate professor is emerging as a recognized authority in his or her area of expertise beyond the institution and meets the criterion of **mastery**. Scholarly productivity has reached a level of achievement deserving of peer recognition. The individual serves as a mentor for junior faculty in areas of scholarship consistent with an area of expertise. The individual regularly disseminates scholarship in peer-reviewed journals and at professional meetings at the national or international level.

The associate professor is an individual who meets all criteria for assistant professor and:

1. Demonstrates mastery in assigned role(s). The number of contributions / activities within each domain and the amount of evidence demonstrating mastery should mirror the faculty member's effort distribution across domains.

2. Is emerging as an authority on a national or international level in his or her area of expertise.

See Appendix A for examples of mastery within each academic domain.

4.E.3. Promotion to Professor (Tenure-Track)

The professor has an established and sustained a record of outstanding achievement in his or her area of expertise and meets the criterion of **leadership**. A sustained record of publication and extramural grant support is considered evidence of productivity at the rank of professor. The professor is one who is recognized by peers for excellence as evidenced by, for example, election to editorial boards and grant review panels. The professor is often an invited or keynote speaker on topics related to an area of expertise. The professor is often requested to edit or write books in an area of expertise. The professor's scholarly activity has fully matured, leading to recognition as an authority in an area of expertise.

The professor is an individual who meets all criteria for associate professor and:

1. Demonstrates leadership in assigned role(s). The number of contributions / activities within each domain and the amount of evidence demonstrating leadership should mirror the faculty member's effort distribution across domains.

2. Is a recognized leader and authority on a national or international level in his or her area of expertise.

See Appendix A for examples of leadership within each academic domain.

4.F. Promotion Standards for Contract and Continuing Faculty on Professor Series

While it is anticipated that contract and continuing faculty on the professor series will have different effort distributions than tenure-track faculty, the expectations and standards are similar for a given effort assignment within each of the three academic domains. See Section 4.E of the OT Code for an overview of faculty roles and expectations.

4.F.1. Appointment as Assistant Professor (Contract and Continuing Faculty)

The assistant professor is an individual who demonstrates clear commitment to an academic career and meets the criterion of **competence** as an educator, researcher, and/or practitioner. This is an individual whose scholarly productivity is developing.

The assistant professor is an individual who:

1. Has earned a doctoral degree or a terminal degree in his or her profession at time of hire.

2. Maintains current professional credentials as appropriate.

3. Demonstrates competence in assigned role(s). The number of contributions / activities within each domain and the amount of evidence demonstrating competence should mirror the faculty member's effort distribution across the three academic domains: teaching and advising, research, and service.

See Appendix B for examples of competence within each academic domain.

4.F.2. Promotion to Associate Professor (Contract and Continuing Faculty)

The associate professor is emerging as a recognized authority in his or her area of expertise beyond the institution and meets the criterion of **mastery**. Scholarly productivity has reached a level of achievement deserving of peer recognition. The individual serves as a mentor for junior faculty in areas of scholarship consistent with an area of expertise. The individual regularly disseminates scholarship in peer-reviewed journals and at professional meetings at the national or international level.

The associate professor is an individual who meets all criteria for assistant professor and:

1. Demonstrates mastery in assigned role(s). The number of contributions / activities within each domain and the amount of evidence demonstrating mastery should mirror the faculty member's effort distribution across domains.

2. Is emerging as an authority on a national or international level in his or her area of expertise.

See Appendix B for examples of mastery within each academic domain.

4.F.3. Promotion to Professor (Contract and Continuing Faculty)

The professor has an established and sustained a record of outstanding achievement in his or her area of expertise and meets the criterion of **leadership**. A sustained record of publication and extramural grant support is considered evidence of productivity at the rank of professor. The professor is one who is recognized by peers for excellence as evidenced by, for example, election to editorial boards and grant review panels. The professor is often an invited or keynote speaker on topics related to an area of expertise. The professor is often requested to edit or write books in an area of expertise. The professor's scholarly activity has fully matured, leading to recognition as an authority in an area of expertise.

The professor is an individual who meets all criteria for associate professor and:

1. Demonstrates leadership in assigned role(s). The number of contributions / activities within each domain and the amount of evidence demonstrating leadership should mirror the faculty member's effort distribution across domains.

2. Is a recognized leader and authority on a national or international level in his or her area of expertise.

See Appendix B for examples of leadership within each academic domain.

4.G. Promotion Standards for Contract and Continuing Faculty on Instructor Series

4.G.1. Appointment as Instructor

A faculty member at the instructor level must have 1) a relevant clinical degree and 2) at least two years of clinical experience.

4.G.2. Promotion to Senior Instructor

The senior instructor is an individual who has five years experience as instructor or equivalent and demonstrates a consistent record of **competence** in teaching. See Appendix C for examples of teaching competence.

4.G.3. Promotion to Master Instructor

The master instructor is an individual who has five years experience as senior instructor or equivalent and demonstrates a consistent record of **mastery** in teaching. See Appendix C for examples of teaching mastery.

4.H. Disciplinary Action for Faculty

The Department follows the University's policies regarding disciplinary action for faculty as outlined in the Academic Faculty and Administrative Professional Manual, Section AFAPM E.15. The faculty includes all personnel who carry academic rank (Professor, Associate Professor, Assistant Professor, Master Instructor, Senior Instructor, and Instructor). All faculty members shall have the academic freedom enjoyed by tenured faculty members, regardless of the type of appointment.

4.I. Grievance Processes for Faculty

As stated in Sections AFAPM E.1 and AFAPM E.14.4 of the Manual, faculty:

- Will attempt to mediate grievable conflicts prior to filing a grievance complaint.
- Have the right to initiate a grievance in accord with requirements set forth in Section AFAPM K.5 of the Manual, The Right to Grieve.

Section 5: Administrative Professionals and State Classified Staff Administrative Policies & Procedures

Selection of administrative professionals is made according to university policy and guidelines established by the Office of Equal Opportunity (OEO) at CSU. The immediate supervisor, which may be the Department Head or another administrative professional, gains search approval from the Provost, develops the job description; appoints the search committee, and coordinates the search according to guidelines established by OEO. The committee, working through the college OEO coordinator, carries out the search according to established procedures. The candidate selected for the position is subject to approval by the OEO and Colorado State University Central Administration. A background check is required on the selected candidate before an offer can be made.

The workload of administrative professionals may include activities in service, outreach and practice; research, scholarship and creative activity; and teaching. The proportion of activities in each of these domains reflects and is consistent with the administrative professional's job description. Administrative professionals clarify their workloads with their respective supervisors and negotiate any changes on an annual basis, at minimum. Administrative professionals may have their workloads adjusted if they obtain external funding that supports work directly related to their designated responsibilities and job descriptions. Prior to submitting a proposal for external funding, an administrative professional is expected to negotiate, any desired future workload adjustments with his or her r supervisor.

Primary responsibilities of administrative professionals in the Department typically fall in three

areas: (1) service/outreach/practice, (2) research/scholarship/creative activity and (3) teaching

Service/Outreach/Practice may include**:**

- Providing direct and indirect services to individuals, groups and systems
- Acting as consultants and educators
- Providing leadership to and managing programs (e.g., developing and evaluating programs, managing budgets, overseeing personnel, public relations)
- Providing service to the Department, College, and/or University
- Providing service to professional groups and organizations.

Research/Scholarship/Creative Activity may include**:**

- Publishing in refereed and non-refereed forums
- Disseminating new knowledge from outcome-oriented services
- Presenting work in refereed and non-refereed public forums
- Providing continuing education
- Procuring and implementing external funding
- Participating in professional specialty area activities

Teaching may include**:**

- Teaching courses in the occupational therapy curriculum
- Providing guest lectures or laboratory experiences in the Department, campus-wide or externally
- Monitoring curricular content related to a specialty area
- Serving as a fieldwork educator for Level I and Level II fieldwork
- Supervising graduate student employees and graduate teaching assistants
- Assisting faculty with accessible and universally designed course content
- Developing training and educational materials (e.g., tutorials and modules)
- Providing mentoring, educational materials or guidelines to faculty, program administrators, educators or community members regarding best practices for individuals with disabilities

Administrative professionals are eligible to serve on committees and have voting rights on Departmental issues directly related to their respective job duties.

5.A. Annual Performance Evaluation

Each administrative professional will participate in an annual comprehensive performance evaluation. Annual evaluations are intended to assist administrative professionals in achieving professional excellence; facilitate their continued professional development, and align their professional interests with their particular job descriptions. Administrative professionals with joint faculty appointments have the option of using either the Faculty Evaluation or the Administrative Professional Evaluation depending on which best matches their job description. The annual evaluation is conducted by the Department Head for Administrative Professionals with joint faculty appointments. Annual evaluations are conducted by the immediate supervisors of Administrative Professionals who do not have joint appointments.

The Department's policies and procedures for conducting annual reviews are consistent with Section AFAPM D.5.5 of The Manual on the evaluation of administrative professionals. These policies and

procedures are described in Appendix D, and are followed for administrative professionals, with or without joint faculty appointments, who decide to base their evaluation on their particular job description. **The Academic Fieldwork Coordinator(s) can also choose to base her or his annual evaluation on job description**. The Fieldwork Coordinator must facilitate translation of this evaluation to the standard faculty evaluation categories. The term, employee, is consequently used below to refer all individuals who utilize the following policies and procedures for their annual evaluations.

- Annual reviews are based on the calendar year.

- During the fall, the employee will meet directly with his or her immediate supervisor in order to: (1) review progress to date in achieving annual goals for the current year; (2) review his or her current job description; and (3) review proportional workload distribution in relation to that job description.

- The formal face-to face annual review is conducted the following spring. To prepare for this review, the employee is responsible for submitting a written self-assessment to his or her immediate supervisor by requested deadlines. In this self-assessment, **the employee will**:

  a) Provide a comprehensive and reflective assessment of his or her performance related to each area of responsibility designated in the job description;

  b) Evaluate his or her performance in each area of responsibility designated in the job description using the ratings of superior, exceeds expectations, meets expectations, below expectations or unsatisfactory; and

  c) Submit evidence that supports his or her self-assessment as superior, exceeding expectations, meeting expectations, below expectations or unsatisfactory. This evidence may include both internal and external evaluations from colleagues of performance that are specifically related to designated responsibilities.

- The employee's **supervisor will**:

  a) Provide the employee with guidelines regarding required content for their annual evaluation (e.g., updated curriculum vita, professional development plan, reflections on performance pertaining to job description);

  b) Provide the employee with a written evaluation during the annual evaluation meeting;

  c) Base the evaluation on the quality and quantity of the employee's performance in fulfilling responsibilities as those responsibilities are defined in the employee's job description during the period of evaluation; and

  d) Fully advise the employee concerning the methods and criteria used in the evaluation and of results of the evaluation.

- Decisions regarding merit salary increases are linked to the evaluation of the administrative professional's work in the areas listed in the respective job description.

- The employee will receive a copy of the evaluation. Copies will also be maintained in the employee's personnel file, and a copy filed in the Dean's Office. The annual evaluation documents will be forwarded to the Dean for review per College policy. Any suggestions, questions, and/or concerns are to be discussed with the employee's immediate supervisor. The employee has a right to prepare a written response to his or her annual evaluation which becomes part of the annual evaluation.

5.B. Procedures for Promotion of Administrative Professionals

The Department follows the guidelines for Administrative Professional employment as indicated by

the Academic Faculty and Administrative Professional Manual, AFAPM Section D.

- Approved titles for the advancement of Administrative Professionals can be obtained from Human Resource Services and the Administrative Professional Council Office. See the Human Resources Manual found on the Human Resource Services website.
- Research Professionals: Contact the Director of Human Resource Services for consideration of research professional advancement levels. Further details can be found in AFAPM Section D.5.3.3 and also the Human Resources Manual.

5.C. Procedures for Promotion of State Classified Staff

The Department follows the guidelines for State Classified Staff employment as indicated by the Classified Personnel Council and HR at Colorado State University.

5.D. Disciplinary Action for Administrative Professionals and State Classified Staff

As described in AFAPM D.5.6 of The Manual, all administrative professionals are "employees at will" and subject to termination by either party at any time. The authority to terminate most administrative professionals has been delegated to the President by the Board. Before the action is presented for final approval and except at the end of the stated employment period, the Vice President in charge of the academic department or administrative unit must approve a recommendation for termination.

5.E. Grievance Processes for Administrative Professionals and State Classified Staff

As stated in AFAPM Section K, administrative professionals and state classified staff are "Covered Members" of the university. As such, staff members:

- Will attempt to mediate grievable conflicts prior to filing a grievance complaint.
- Have the right to initiate a grievance in accord with requirements set forth in Section AFAPM K.5 of the Manual, The Right to Grieve.

Section 6: Student Policies and Procedures

6.A. Student Employees

See Section 5 of the Colorado State University Human Resource Manual.

6.B. Graduate Student Evaluation

Periodic performance evaluations and review of the GS-6 (program of study) form by their primary supervisor are intended to assist graduate students in achieving academic and professional excellence; facilitate their continued development, and align their professional interests with their particular job descriptions. See the OT Student Manuals for additional information.

6.C. Undergraduate Teaching and Research Assistants

N/A

6.D. Graduate Teaching and Research Assistants

Appointments as graduate teaching, research, and support assistants are established on an individual basis and renegotiated at least annually. Periodic performance evaluations by their primary supervisor are intended to assist graduate students in achieving academic and professional excellence; facilitate their continued development, and align their professional interests with their

particular job descriptions.

6.E. Student Appeals

Grade appeals

Grading decisions in courses, including Level I and Level II Fieldwork, are subject to appeal according to the University's policy on Appeals of Grading Decisions, as set forth in AFAPM 1.7. Refer to the procedures outlined in the Manual (AFAPM Section I.7, Student Appeals on Grading Decisions) and in the Student Conduct Code (Section F.7 Sanctions—Grading Penalty and Section H.2 Other Appeals—Grading Penalty).

Academic integrity appeals

Faculty members or instructors are expected to use reasonably practical means of preventing and detecting academic dishonesty (see General Catalog for the Academic Integrity Policy). If a faculty member or instructor has evidence that a student has engaged in an act of academic dishonesty, the faculty member or instructor will notify the student of the concern and make an appointment to discuss the allegations with the student. The student will be given the opportunity to give his/her position on the matter. If the student admits to engaging in academic dishonesty or if the faculty member or instructor judges that the preponderance of evidence supports the allegation of academic dishonesty, the faculty member or instructor may then assign an academic penalty. If, after making reasonable efforts, the faculty member or instructor is unable to contact the student or collect all relevant evidence before final course grades are assigned, he or she assigns an interim grade of "Incomplete" and notifies the student of the reason for the grade.

Faculty members or instructors should report all cases of academic dishonesty in which a penalty is imposed to the Office of Conflict Resolution and Student Conduct Services. Incidents which the faculty member or instructor consider major infractions should be accompanied by a recommendation that a hearing be conducted to determine whether additional university disciplinary action should be taken.

If a student disputes an allegation of academic dishonesty, the student may request a hearing with the Office of Conflict Resolution and Student Conduct Services. Procedures are outlined in the Manual (AFAPM Section I.5.2 "Student Appeals").

Other appeals

 Informal resolutions of appeals concerning unsatisfactory performance on preliminary, qualifying or final examinations; thesis or dissertation proposal or defense; academic probation for reasons of unsatisfactory progress toward a degree; termination of or election to void assistantships; or dismissal from the graduate program for academic reasons are encouraged whenever possible. When a formal appeal must be initiated, the "Graduate School Appeals Procedure" will be followed as outlined in the Graduate and Professional Bulletin. Decisions related to Disciplinary Action are subject to the University Discipline Process, which is outlined in the Student Conduct Code and the Academic Integrity policy contained in the General Catalog. Procedures related to research misconduct can be found on the Office of the Vice President for Research website.

6.F. Student Organizations

The Department supports four student occupational therapy groups: The Student Occupational Therapy Association (SOTA); Pi Theta Epsilon, the national occupational therapy student honor society; Diverse OT; and OTECH. Each student organization must have a faculty member advisor. The Department provides support through faculty attendance at invited organizational activities and through provision of limited financial and other support.

6.G. Advising

Academic Advising

Academic advising supports students as they move through their respective programs of study and complete general requirements towards graduation. Unlike undergraduate education, advising at a graduate level is largely student initiated; however, advisors may initiate contact with advisees as needed.

Research Advising

Research advising supports students who are completing a Plan A thesis project to meet the requirements of the Master of Science degree or the PhD in Occupation and Rehabilitation Science degree program.

6.H. Academic and Fieldwork Performance Expectations

Faculty are responsible for being familiar with the policies described below:

Academic Expectations: The OT Department defers to the scholastic standards and academic probation process as outlined in the Graduate and Professional Bulletin section on "Scholastic Standards" ([bulletin](#)). Student expectations for maintaining good academic standing are stated in the OT Student Handbook (MS and MOT students), the PhD Student Handbook and the Graduate and Professional Bulletin.

Academic Integrity: The OT department follows the [Academic Integrity Policy](#) found in the General Catalog, which is presented in the OT Student Handbook (MS and MOT students), the PhD Student Handbook and the Graduate and Professional Bulletin. Students are notified of the Department's academic and professional integrity policy including potential consequences of violating this policy on all Department course syllabi.

Fieldwork Expectations: All expectations that must be met by students prior to fieldwork placements are outlined in the OT Student Handbook (MS and MOT students). Students on Academic Probation and students on Departmental Probation or with unresolved professional behavior concerns may not be placed at a fieldwork site at the discretion of the Academic Fieldwork Coordinator, Academic Program Director, and Department Head.

Professional Behavior Expectations: The OT Department's approach to professional behavior is overseen by the Academic Program Director in collaboration with the Department Head. The specific professional behavior expectations and specific processes for action and evaluation are described in the OT Student Handbook (MS and MOT students). All faculty and staff are responsible for the following:

- Setting expectations early in the semester and informally assessing students' ethical conduct and professional behavior.
- Contributing to a comprehensive assessment of professional behavior and an individualized action plan for a student who demonstrates problematic behavior across multiple contexts.

6.I. Academic and Department Probation

Academic Probation: Policies and procedures of the Graduate School related to academic probation are stated in the Graduate and Professional Bulletin Section. In addition, current policies and procedures related to academic probation and possible delays to fieldwork or dismissal from the program appear in the OT Student Handbook.

Departmental Probation: The Student Handbook contains current policies and procedures related to departmental probation (i.e., criteria for placement on, and removal from, probation; impact on fieldwork; communications to students; potential for, and procedures leading to, recommendations

Code of the Department of Occupational Therapy

to the Graduate School for dismissal from the program).

Section 7: Procedures for Changing Unit Code

7.A. Signatures Approving the Unit Code

This Code for the Department of Occupational Therapy was approved by a minimum two-thirds majority of the Department faculty eligible to vote at a regularly scheduled meeting held on 09/16/2021.

Provost Approval

Signature   Date

7.B. Relationships to the Academic Faculty and Administrative Professional Manual

The OT Code should be interpreted in context of the larger University. It was developed to be consistent with policies and procedures of both the Faculty and Administrative Professional Manual of Colorado State University (herein referred to as the Manual; and the Code of the College of Health and Human Sciences (herein referred to as the CHHS Code). If items in the OT Code and appendices conflict with the CHHS Code, then the University Code and the OT Code takes precedence (Manual, AFAPM C.2.4.1).

Appendix A: Examples of Promotion Standards for Tenure-Track and Tenured Faculty

Assistant Professor

Section 4.E.1 of the OT Code describes the required qualifications for appointment as an assistant professor. Further, it is expected that a faculty member at this rank demonstrates **competence** as an educator, researcher, and/or practitioner based on his or her effort distribution across the three academic domains. Evidence of competence may include, but is not limited to the following:

Teaching and Advising	Research	Service
• Designs a course, including writing course objectives, organizing content, and evaluating students. • Counsels and advises students as they progress through courses. • Improves teaching skills by working with mentors, observing other faculty, and attending faculty development workshops. • Demonstrates competence as evidenced by student and peer evaluations. • Assists colleagues with lectures and labs. • Serves as collaborator or co-investigator on education or training grant projects.	• Serves as a collaborator or co-investigator on grant proposals and projects. • Presents research findings at local, regional, or national professional meetings. • Publishes peer-reviewed research articles.	• Practices as a clinician, as appropriate. • Actively participates on Department, College, or University committees. • Actively participates in local or state professional associations. • Makes contributions to the community using professional / academic expertise.

Associate Professor

Section 4.E.2 of the OT Code describes the required qualifications for promotion to associate professor. Further, it is expected that a faculty member at this rank is emerging as a recognized authority in his or her area of expertise beyond the institution and demonstrates **mastery** as an educator, researcher, and/or practitioner based on his or her effort distribution across the three academic domains. Evidence of mastery may include, but is not limited to the following:

Teaching and Advising	Research	Service
• Develops, implements, and evaluates innovative teaching methods in area of expertise or across disciplines. • Develops, submits, and obtains funding for education or training grants. • Is considered an emerging authority on teaching methods, educational evaluation methods, and curriculum development. • Demonstrates expertise as evidenced by student and peer evaluations. • Creates and disseminates teaching / learning materials. • Successfully guides masters, doctoral, or postdoctoral students. • Publishes educational articles as first or senior author.	• Is considered an emerging authority in an area of research expertise. • Develops, submits, and obtains funding for research grant proposals. • Presents research findings at national or international professional meetings. • Integrates research by contributing to book chapters or editing books. • Publishes peer-reviewed research articles as first or senior author.	• Serves as peer reviewer for journals and grants. • Serves as chair of Department, College, or University committees or task forces. • Participates in change as a department administrator or community leader. • Is recognized for excellence on a regional or national level by holding office in professional associations and chairing committees. • Assumes leadership roles in national or international societies.

Professor

Section 4.E.3 of the OT Code describes the required qualifications for promotion to associate professor. Further, it is expected that a faculty member at this rank has an established and sustained a record of outstanding achievement in his or her area of expertise and demonstrates **leadership** as an educator, researcher, and/or practitioner based on his or her effort distribution across the three academic domains. Evidence of leadership may include, but is not limited to the following:

Teaching and Advising	Research	Service
• Provides leadership in developing, implementing, and evaluating innovative teaching methods or curricular designs. • Maintains funding for education or training grants. • Guides a major focus of teaching to a point that has led to recognition as an authority. • Sustains a record of publication that reflects recognition as a leader in teaching/education.	• Maintains an independent research program. • Serves as a principal investigator for funded research projects. • Provides leadership of established collaborative research groups. • Guides a major focus of discovery and integration to a point that has led to recognition as an authority. • Sustains a record of publication that reflects recognition as a leader in research.	• Is recognized by peers for excellence as a leader in national or organizations by serving as officer or board member. • Provides leadership for change as a departmental administrator or community leader related to areas of professional or academic expertise. • Guides a major focus of application to a point that has led to recognition as an authority.

Appendix B: Examples of Promotion Standards for Contract and Continuing Faculty on Professor Series

Assistant Professor

Section 4.F.1 of the OT Code describes the required qualifications for appointment as an assistant professor. Further, it is expected that a faculty member at this rank demonstrates **competence** as an educator, researcher, and/or practitioner based on his or her effort distribution across the three academic domains. Evidence of competence may include, but is not limited to the following:

Teaching and Advising	Research	Service
• Designs a course, including writing course objectives, organizing content, and evaluating students. • Counsels and advises students as they progress through courses. • Improves teaching skills by working with mentors, observing other faculty, and attending faculty development workshops. • Demonstrates competence as evidenced by student and peer evaluations. • Assists colleagues with lectures and labs. • Serves as collaborator or co-investigator on education or training grant projects.	• Serves as a collaborator or co-investigator on grant proposals and projects. • Presents research findings at local, regional, or national professional meetings. • Publishes peer-reviewed research articles.	• Practices as a clinician, as appropriate. • Actively participates on Department, College, or University committees. • Actively participates in local or state professional associations. • Makes contributions to the community using professional / academic expertise.

Associate Professor

Section 4.F.2 of the OT Code describes the required qualifications for promotion to associate professor. Further, it is expected that a faculty member at this rank is emerging as a recognized authority in his or her area of expertise beyond the institution and demonstrates **mastery** as an educator, researcher, and/or practitioner based on his or her effort distribution across the three academic domains. Evidence of mastery may include, but is not limited to the following:

Teaching and Advising	Research	Service
• Develops, implements, and evaluates innovative teaching methods in area of expertise or across disciplines. • Develops, submits, and obtains funding for education or training grants. • Is considered an emerging authority on teaching methods, educational evaluation methods, and curriculum development. • Demonstrates expertise as evidenced by student and peer evaluations. • Creates and disseminates teaching / learning materials. • Successfully guides masters, doctoral, or postdoctoral students. • Publishes educational articles as first or senior author.	• Is considered an emerging authority in an area of research expertise. • Develops, submits, and obtains funding for research grant proposals. • Presents research findings at national or international professional meetings. • Integrates research by contributing to book chapters or editing books. • Publishes peer-reviewed research articles as first or senior author.	• Serves as peer reviewer for journals and grants. • Serves as chair of Department, College, or University committees or task forces. • Participates in change as a department administrator or community leader. • Is recognized for excellence on a regional or national level by holding office in professional associations and chairing committees. • Assumes leadership roles in national or international societies.

Professor

Section 4.F.3 of the OT Code describes the required qualifications for promotion to associate professor. Further, it is expected that a faculty member at this rank has an established and sustained a record of outstanding achievement in his or her area of expertise and demonstrates **leadership** as an educator, researcher, and/or practitioner based on his or her effort distribution across the three academic domains. Evidence of leadership may include, but is not limited to the following:

Teaching and Advising	Research	Service
• Provides leadership in developing, implementing, and evaluating innovative teaching methods or curricular designs. • Maintains funding for education or training grants. • Guides a major focus of teaching to a point that has led to recognition as an authority. • Sustains a record of publication that reflects recognition as a leader in teaching/education.	• Maintains an independent research program. • Serves as a principal investigator for funded research projects. • Provides leadership of established collaborative research groups. • Guides a major focus of discovery and integration to a point that has led to recognition as an authority. • Sustains a record of publication that reflects recognition as a leader in research.	• Is recognized by peers for excellence as a leader in national or organizations by serving as officer or board member. • Provides leadership for change as a departmental administrator or community leader related to areas of professional or academic expertise. • Guides a major focus of application to a point that has led to recognition as an authority.

Appendix C: Examples of Promotion Standards for Contract and Continuing Faculty on Instructor Series

Senior Instructor

Section 4.G.2 of the OT Code describes the required qualifications for promotion to senior instructor. Further, it is expected that a faculty member at this rank demonstrates consistent **competence** as an educator.

Evidence of teaching competence may include, but is not limited to the following:

- Designs a course, including writing course objectives, organizing content, and evaluating students.
- Counsels and advises students as they progress through courses.
- Improves teaching skills by working with mentors, observing other faculty, and attending faculty development workshops.
- Demonstrates competence as evidenced by student and peer evaluations.
- Assists colleagues with lectures and labs.
- Serves as collaborator or co-investigator on education or training grant projects.

Master Instructor

Section 4.G.3 of the OT Code describes the required qualifications for promotion to master instructor. Further, it is expected that a faculty member at this rank demonstrates consistent **mastery** as an educator.

Evidence of teaching mastery may include, but is not limited to the following:

- Develops, implements, and evaluates innovative teaching methods in area of expertise or across disciplines.
- Develops, submits, and obtains funding for education or training grants.
- Is considered an emerging authority on teaching methods, educational evaluation methods, and curriculum development.
- Demonstrates expertise as evidenced by student and peer evaluations.
- Creates and disseminates teaching / learning materials.
- Successfully guides masters, doctoral, or postdoctoral students.
- Publishes educational articles as first or senior author.

Appendix D: Annual Performance Standards

Faculty Member's Name:

Workload Distribution for the Calendar Year:

Domain	Effort
Teaching, Advising, Mentoring	%
Research, Scholarship, Creative Activity	%
Service	%

Teaching, Advising, and Mentoring

Aspirational Goal: Through teaching, advising and mentoring, faculty promote student achievement of the program's curricular objectives. We want faculty to use pedagogical methods consistent with the program's commitment to a learning paradigm and integrative learning outcomes. "Integrative learning comes in many varieties: connecting skills and knowledge from multiple sources and experiences; applying skills and practices in various settings; utilizing diverse and even contradictory points of view; and understanding issues and positions contextually.[1]" Faculty are encouraged to strive for the greatest possible congruence of written materials (e.g., course syllabi, study guides, assignments, and readings) with the overall curriculum design, including its conceptual core, curricular threads and targeted learning outcomes. The Institute for Learning & Teaching (TILT) has developed an evidence-based Teaching Effectiveness Framework for faculty reference. Faculty are also expected to be responsive to University expectations regarding teaching and advising as described in Section AFAPM E.5.3 of the Manual. The Department and the University also highly value engagement in activities that promote or advance teaching, advising and mentorship in service to individuals and communities across and beyond CSU.

Evaluation of Teaching Effectiveness: Evidence of teaching effectiveness is based on a faculty member's portfolio, which contains 1) peer evaluations, 2) examples and descriptions of curricular or course improvements and innovations that occurred during the year, 3) quantitative and qualitative data from student course evaluations, and 4) other evidence the faculty member considers relevant to an evaluation of his or her teaching and advising. Faculty are encouraged to provide evidence that they are creating a learning environment with the following attributes:

- Cooperative, collaborative, and supportive.
- Promotes and assesses active learning, engagement, and discovery among students.
- Helps students understand that knowledge is fluctuating, incomplete and uncertain, but teaches the skills and confidence to judge information as more or less substantiated.
- Empowers students to develop their own knowledge from a synthesis of research evidence, expert opinion, and personal experiences.
- Employs principles of inclusive materials and learning to address differences in student learning styles.
- Models and motivates life-long learning.

The benchmarks for teaching and advising are based on a standard workload, which provides 40%

---

[1] Drawn from: A Statement on Integrative Learning by the Association of American Colleges and Universities and the Carnegie Foundation for the Advancement of Teaching.

effort in this area (see Section 3.B of the OT Code). If a faculty member's workload differs from the standard, it is expected that the benchmarks will be calibrated to match. The Department Head and faculty member will negotiate additional calibrations for "exceeds expectations" and "superior."

<u>Teaching, Advising, and Mentoring Benchmarks</u>: Begin by recording accomplishments for "meets expectations." Then tick additional relevant accomplishments. Some accomplishments are weighted more heavily than others. If you tick one of those boxes, then adjust the points in the "Total" box.

Meets expectations

Requirement	Item
All required as applicable	• A brief but thoughtful narrative reflection of classroom teaching and course design. The essence of the narrative should be to answer (and support answers to) the following: What went well? What could go better? What actions do I plan to take? Provide quantitative and qualitative data from **student course surveys** as well as at least one other source of evidence (e.g., [but not limited to] peer or mentor evaluations of teaching, teaching adjustments based on mid-semester feedback, consultations with other instructors to help teaching). • Evidence of ongoing evaluation, updating, revision and/or enhancement of courses (e.g., [but not limited to] improvements to on-line platforms, updated readings, improved learning activities and assessments, redesign of course units or assignments, consultations with the OT Curriculum Committee or other instructors to help improve course design or curricular coherence). As appropriate, this evidence may be inserted in the reflective narrative. Again, the essence of this benchmark is a description of: What went well? What could go better? What actions do I plan to take? • A reflective narrative self-assessment, of performance in specific advisor roles. As above, the essence of this benchmark is a description of: What went well? What could go better? What actions do I plan to take? In this self-assessment, the faculty member must consider student evaluations of competencies as an academic, research, and/or fieldwork advisor when such evaluations are available. She or he may also consider other sources of evidence (e.g., [but not limited to] student accomplishments: refereed posters, oral presentations or papers; awards; innovative fieldwork accomplishments, other favorable written documentation by advisees etc.). **For research advisors:** • How many research committees did you chair in the past year? • MS_____PhD____ Indicate how many students you added to or dropped from your advising load last year and then list the students by name. • Added ____Dropped ____

Exceeds expectations = 3-4 additional points overall
Superior = 5 or more additional points overall

Justify all points claimed in narrative and with supporting evidence

Total possible	Points Claimed	Additional Teaching/Advising/Mentoring Accomplishments
1-3 per course		☐ Developed a new course OR substantially redesigned a course (beyond expected ongoing changes)
1-2		☐ Ongoing in-depth mentoring of junior faculty OR participation as a mentee (e.g., joint publications, proposal submissions, funded grants, refereed presentations, increased teaching effectiveness, favorable written documentation by mentee/mentor).
1-2		☐ Participation in professional development related to teaching/advising/mentoring (e.g., serving as peer evaluator of teaching)
1 per grant		☐ Submission of a teaching/advising/mentoring grant
1 per grant		☐ Received a teaching/advising/mentoring grant
1 per grant		☐ Effectively implemented a teaching/advising/mentoring grant (evidence from grant collaborators included)
1-3		☐ Demonstrated leadership of a large-scale effort in education different from grants (e.g., development of new curriculum; consultation to, evaluation of, curricula outside CSU)
1-2		☐ Published new teaching materials (online or print)
1		☐ Received a competitive teaching award
3 per book		☐ Published new or substantially revised major textbook
TOTAL:		

<u>Ratings of "Below Expectations" or "Unsatisfactory" in Teaching/Advising/Mentoring</u>. A rating of "below expectations" is used when a faculty member has not met benchmarks for "meets expectations." That is, the faculty member has demonstrated little evidence of a) commitment to course revision and enhancements OR b) responsiveness to feedback from peer evaluation or student course surveys. A rating of "Unsatisfactory" is used when a) the faculty member's course(s) and syllabus or syllabi are clearly out of date OR b) the faculty member has demonstrated ineffective teaching. The Department Head may also apply a rating of "below expectations OR "unsatisfactory" when student evaluations of a course or instructor effectiveness fall below "3" for two or more consecutive years.

Research, Scholarship and Creative Activity

Aspirational Goal

Academic faculty who have research as part of their workload are expected to be active scholars, producing new knowledge within one or more of the four scholarship domains of discovery, integration, teaching and learning, and/or application defined by Boyer (1990) in Scholarship Reconsidered. As described in Section AFAPM E.12.2 of the Manual, research and other creative scholarly activity include (but are not limited to): publications (including scholarly articles, conference proceedings, invited reviews, book chapters, textbooks, and other monographs); exhibitions; refereed and/or invited presentations of original research; copyrighted, patented or licensed works and inventions; products resulting from supervision of student researchers; the award of both effort and success in generating funding to support research and other creative activities; as well as scholarly activities that advance the effectiveness of teaching and education. The criteria for evaluating the original or imaginative nature of research and other creative activities should be the generally accepted standards prevailing in the applicable discipline or professional area. **The focus is on quality and impact, rather than quantity of output**.

Evaluation of Research Productivity

Criteria for evaluating the original or creative nature of research should be the generally-accepted standards prevailing in the applicable discipline or professional area. Standards for determining quality will vary among research areas and should be considered during annual evaluations, tenure-review, and promotion. Evaluations are based primarily upon the quality of the product as judged by peers. Some measures of quality include:

- Prestige of the journals in which publications appear.
- Citations of published work in the peer-reviewed literature and/or public press.
- Prizes or awards for significant professional accomplishment.
- New and/or consistent funding to support research program.
- Impact and outcome assessments as indicated by adoption of results by clientele.

When work is a collaborative effort, every attempt should be made to assess the value of the contribution of the faculty member. Some categories of publication or other accomplishments, such as extension publications, more properly are regarded as vehicles for teaching or outreach/engagement; however, these may be considered evidence of other creative activity to the extent that new ideas and research are incorporated.

The benchmarks for research and creative activity are based on a standard workload, which provides 40% effort in this area (see Section 3.B of the OT Code). If a faculty member's workload differs from the standard, it is expected that the benchmarks for manuscripts under "meets expectations" will be calibrated as shown below. The Department Head and faculty member will negotiate additional calibrations for "exceeds expectations" and "superior."

Research, Scholarship, and Creative Activity Benchmarks

Begin by recording accomplishments for "meets expectations." Then tick additional accomplishments as they apply. A few accomplishments are weighted more heavily than others. If you tick one of those boxes, then adjust the points in the "Total" box. Include a brief, thoughtful **narrative reflection** of research engagement and performance, outcomes, and factors affecting your accomplishments. The essence of the narrative should be to answer the following: What research was I engaged in? How does this fit into my research program? What went well? What could go better? What actions do I plan to take?

Appendix D

Meets Expectations

All Required	Effort %
	40% standard effort: • 2 publications (e.g., scholarly articles, conference proceedings, invited reviews, book chapters, textbooks, and other monographs)* • Submission of one intramural **OR** extramural grant proposal as PI, Co-PI or co-investigator **OR** maintaining 20% effort on funded research project(s). **50% research effort:** • 3 publications (e.g., scholarly articles, conference proceedings, invited reviews, book chapters, textbooks, and other monographs)* • Submission of one intramural **OR** extramural grant proposal as PI, Co-PI or co-investigator **OR** maintaining 25% effort on funded research project(s). • *CSU requirement is that publications appear (online or in print) in the calendar year.

Exceeds expectations = 3 additional points

Superior = 4 or more additional points

Justify all points claimed in narrative and with supporting evidence

Total Possible	Points Claimed	Additional Research and Creative Activity Accomplishments
1 per publication		☐ Additional publications (see eligible formats listed above)
1 per 10%		☐ Exceeded 20% (or 25%) funding level from existing research project(s)
2 per grant		☐ Submitted additional research grant proposal as PI or Co-PI
1 per grant		☐ Obtained new intramural funding as PI, Co-PI, or co-investigator
1 per grant		☐ Obtained new extramural funding for < $25,000 as PI, Co-PI, or co-investigator
2 per grant		☐ Obtained new extramural funding for $25,000 -- $100,000 as PI, Co-PI, or co-investigator
3 per grant		☐ Obtained new extramural research funding for > $100,000 as PI, Co-PI, or co-investigator
.5 per talk (1 point max)		☐ Presented research findings at a refereed conference
		☐ Other. Describe and justify points based on relative effort to an activity above; e.g., submitted additional grant proposal as co-investigator.
TOTAL:		

NOTE: Departmental 'seed' money is not considered a competitive internal grant. Further, faculty receiving internal (Department, College, or University) funding are expected to demonstrate a clear return on investment; e.g., ongoing data collection, submitted manuscripts, and external grant submissions. Productivity related to these grants should be documented in the annual progress report.

Ratings of Below Expectations or Unsatisfactory in Research and Creative Activity. A rating of "below expectations" is used when benchmarks for "meet expectations" have not been met. That is, the faculty member has demonstrated minimal publication activity (e.g., manuscripts only under preparation). A rating of "Unsatisfactory" is used when the faculty member has demonstrated no research or publication activity.

Professional Service

<u>Aspirational Goal</u>

As described in Section <u>E.12.3</u> of the Manual, faculty engagement in service is critical to advancing the interests of the Department, the University, the community, and the profession of occupational therapy and related fields.

<u>Evaluation of Service Impact</u>

University service includes (but is not limited to) contributions to the governance and leadership of the Department, College, and University via activities such as membership on or chairing committees, advising student organizations, and administrative activities. All faculty are expected to serve on internal committees. Professional service in local, state, national, and international organizations enhance the reputation of the Department, College, and University. Development of professional service includes the faculty member's participation at professional meetings, service on committees of an organization, editorial activities, grant review panels, etc. Faculty should reflect on service not only as hours of involvement, but also in terms of intensity of engagement and outcomes.

The benchmarks for service are based on a standard workload, which provides 20% effort in this area (see Section 3.B of the OT Code). If a faculty member's workload differs from the standard, it is expected that the benchmarks will be calibrated to match. The Department Head and faculty member will negotiate additional calibrations for "exceeds expectations" and "superior."

<u>Service Benchmarks</u>

Begin by recording accomplishments for "meets expectations." Then tick additional accomplishments as they apply. A few accomplishments are weighted more heavily than others. If you tick one of those boxes, then adjust the points in the "Total" box. Include a brief, thoughtful **narrative reflection** of service contributions. The essence of the narrative should be to answer the following: What went well? What could go better? What actions do I plan to take? Include a statement of how service fits with your overall goals.

Meets Expectations

Requirement	Item
All required	☐ Regularly attends and contributes to Department faculty meetings ☐ Participates regularly in Department events (e.g., Yamagata, candidate interviews, SOTA and Pi Theta events, SIP Mtgs, ATRC Power Hour) ☐ Participates actively on Departmental service and committees and completes assigned tasks in a timely fashion

Appendix D

Exceeds expectations = 3-4 additional points overall
Superior = 5 or more additional points overall

Justify all points claimed in narrative and with supporting evidence

Total Possible[2]	Points Claimed[3]	Additional Service Accomplishments
.5-1 per committee		☐ Chaired a Departmental committee
.5-2		☐ Participated actively or played major leadership role in College or University committee
.5-1		☐ Gave invited or refereed (non-research) presentations or workshops
.5-1		☐ Reviewed manuscripts for a refereed journal.
1-2		☐ Served on a review panel (study section) for grant proposals. Non-federal grant panel = 1; federal grant panel = 2
1-2		☐ Served on editorial/review board of a refereed journal; reviewed regularly for professional journals; or gave in-depth feedback to a colleague on paper or proposal
1		☐ Served as keynote speaker
1-2		☐ Developed/implemented a service/outreach initiative
1		☐ Submitted outreach/service-related extramural grant activity as PI, Co-PI or co-investigator. (Justify contributions as Co-PI or co-investigator.)
1		☐ Obtained outreach/service-related extramural grant activity
1-2		☐ Performed in an outstanding/innovative way as an administrator beyond that expected in role[4]
.5-2		☐ Active participation in professional committees or service at local, state, national, or international levels
1-2		☐ Received official recognition for service at a local, state, or national levels
		☐ Other. Describe and justify points by likening the points to the time and effort of an activity above.
TOTAL:		

---

[2] Unless otherwise noted, points listed are **total that can be claimed *NOT* points/committee or activity**; the number of points claimed reflects level of involvement and should be justified in narrative.

[3] Total points depends more on the frequency and intensity of engagement than the number of committees although if you had very intense engagement on multiple committees, you can add the total points. Please justify.

[4] All administrative roles come with workload assignment. This benchmark reflects activity ***beyond that usually associated with the role***. Points claimed must be **justified in narrative**. Examples may include new funding, programs, or partnerships directly related to one's administrative role rather than one's faculty role.

<u>Ratings of Below Expectations or Unsatisfactory in Service</u>. A rating of "below expectations" or "unsatisfactory" is used when benchmarks for meet expectations have not been met. That is, the faculty member has demonstrated inadequate College, University, or Professional participation. A rating of "unsatisfactory" is used when a faculty member has not met expectations for either Departmental or College/University/Professional service.