

**Standards for Promotion and Tenure
Required by Section 7.12, Regents Policy on *Faculty Tenure***

**Department of Classical and Near Eastern Studies
College of Liberal Arts**

*Approved by the Faculty of the Department of Classical and Near Eastern Studies
on January 20, 2010*

Approved by the Senior Vice President for Academic Affairs and Provost on January 30, 2010

I. Introductory Statement

This document is intended to specify the indices and standards to be used by the Department of Classical and Near Eastern Studies to determine whether candidates meet the University of Minnesota's general criteria for indefinite tenure as they are set out in section 7.11 of the Regents Policy on *Faculty Tenure*, as well as the indices and standards for promotion to the rank of professor as they are set out in section 9.2 of the same Regents policy. For a complete overview, the reader is advised to review sections 7 and 9 in their entirety. This document is also consistent with the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty*.

The document contains indices and standards for the following personnel evaluations:

- annual reviews of probationary faculty
- recommendation for awarding indefinite tenure
- recommendation for promotion
- annual performance appraisal for post tenure review according to Section 7a of the Regents Policy on *Faculty Tenure*

II. Departmental Mission Statement

The mission of the Department of Classical and Near Eastern Studies is to produce and disseminate knowledge about the civilizations of the ancient Mediterranean and Near East from the neolithic period through late antiquity. The Department faculty conducts research and teaches courses in the languages and literatures of Greece, Rome, and the Near East (including Modern Hebrew and Modern Greek); and the archaeology, art, history, and religious traditions of these civilizations, including the development of early Judaism and Christianity.

III. Annual Reviews of Probationary Faculty

The tenured faculty of the Department of Classical and Near Eastern Studies annually reviews the progress of each probationary faculty member toward satisfaction of the criteria for receiving tenure as provided by the Regents Policy on *Faculty Tenure* and in accordance with the University's *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty*. The chair of the department prepares a written summary of that review and discusses the candidate's progress with the candidate, giving a copy of the report to the candidate.

This written summary is provided on President's Form 12 and is signed by the candidate, the chair of the department, the Dean of CLA, and the Senior Vice President for Academic Affairs and Provost.

In accordance with Section 5.5 of *Faculty Tenure* the probationary period may be extended by one year at a time at the request of the faculty member for childbirth/adoption, caregiver responsibilities, or medical reasons. The criteria for evaluation of faculty who have had their probationary period extended are no different than the criteria for faculty who do not have an extension of the probationary period. Extension of the probationary period in accordance with Section 5.5 may not be a factor in the evaluation." See Appendix A for Section 5.5 of the Regents Policy on *Faculty Tenure*.

IV. University Standard – General Criteria for Tenure

Regents Policy on *Faculty Tenure*, Section 7.11, General Criteria

What the University of Minnesota seeks above all in its faculty members is intellectual distinction and academic integrity. The basis for awarding indefinite tenure to the candidates possessing these qualities is the determination that each has established and is likely to continue to develop a distinguished record of academic achievement that is the foundation for a national or international reputation or both [3]. This determination is reached through a qualitative evaluation of the candidate's record of scholarly research or other creative work, teaching, and service [4]. The relative importance of these criteria may vary in different academic units, but each of the criteria must be considered in every decision [5]. Demonstrated scholarly or other creative achievement and teaching effectiveness must be given primary emphasis; service alone cannot qualify the candidate for tenure. Interdisciplinary work, public engagement, international activities and initiatives, attention to questions of diversity, technology transfer, and other special kinds of professional activity by the candidate should be considered when applicable. The awarding of indefinite tenure presupposes that the candidate's record shows strong promise of his or her achieving promotion to professor.

Regents Policy on *Faculty Tenure*, Footnotes to Section 7.11

[3] "Academic achievement" includes teaching as well as scholarly research and other creative work. The definition and relative weight of the factors may vary with the mission of the individual campus.

[4] The persons responsible and the process for making this determination are described in subsections 7.3 through 7.6.

"Scholarly research" must include significant publications and, as appropriate, the development and dissemination by other means of new knowledge, technology, or scientific procedures resulting in innovative products, practices, and ideas of significance and value to society.

"Other creative work" refers to all forms of creative production across a wide range of disciplines, including, but not limited to, visual and performing arts, design, architecture of structures and environments, writing, media, and other modes of expression.

"Teaching" is not limited to classroom instruction. It includes extension and outreach education, and other forms of communicating knowledge to both registered University students and persons in the extended community, as well as supervising, mentoring, and advising students.

"Service" may be professional or institutional. Professional service, based on one's academic expertise, is that provided to the profession, to the University, or to the local, state, national, or international community. Institutional service may be administrative, committee, and related contributions to one's department or college, or the University. All faculty members are expected to engage in service activities, but only modest institutional service should be expected of probationary faculty.

[5] Indefinite tenure may be granted at any time the candidate has satisfied the requirements. A probationary appointment must be terminated when the appointee fails to satisfy the criteria in the last year of probationary service and may be terminated earlier if the appointee is not making satisfactory progress within that period toward meeting the criteria.

V. Departmental Criteria for Tenure – Research

Candidates for indefinite tenure must have established a distinguished record of academic or artistic achievement and must show promise of continued academic distinction.¹

A "distinguished" record is prominent and conspicuous by its excellence. To achieve this, a candidate must have produced a substantial body of research that is openly available, scholarly, creative, and of high quality and significance. It must be recognized and visible within his or her domain of research. Research is not limited to traditional publication but also encompasses activities that lead to the public availability of products, practices, technologies, and ideas that have significance to society. Quality of research or artistic achievement is more important than quantity.

¹ Most probationary faculty are also promoted to the rank of associate professor when they receive indefinite tenure, although tenure may be conferred on an associate professor with a probationary appointment.

Relevant Forms of Evidence

(A) Evidence of excellence in research and/or artistic practice is provided by the candidate's research, performance, exhibition and/or publication record. This record is assessed both internally, by the Department and the College, and externally, by a panel of recognized experts from outside the University, to determine whether it is openly available, scholarly, creative, and of high quality and significance. (See Section 12 of the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty* for details about reviewers.)

The following points guide the assessment of the candidate's record:

1. "Openly available" research or artistic practice implies distribution, which includes traditional and electronic publication as well as other media such as audio and video recording, or publicly available live performance or exhibition.
2. Scholarly publication can take many forms; among these are original research articles in refereed professional journals and other professional publications, books, book chapters, edited collections and anthologies, critical editions, integrative text books that advance the discipline, and published lectures. The candidate must offer a substantial record of published original research since the awarding of the PhD. Review articles and translations, especially translations of ancient sources otherwise accessible only in the original languages, may be considered to the extent that they represent a substantial independent scholarly contribution.
3. Peer-reviewed publications generally will receive greater weight than publications that were not peer reviewed. Publications by eminent presses and those appearing in journals, series, or volumes that have stringent peer review and major disciplinary significance generally receive the most weight.
4. A written work is considered to be published when it satisfies two standards: it is under contract, and in production. The candidate is asked to produce the actual contract or another form of evidence showing the work has been accepted for publication. A book, journal article, or book chapter will be considered in production when a letter from the director or editor is sent and states that the work: a) has gone through all rounds of reviews; b) all corrections/revisions have been completed; c) the fully completed/revised manuscript is in the hands of the press or journal; d) the press or journal has put it on a production schedule.
5. Translations, reprints, and citations or reviews of a candidate's work may provide evidence of the visibility, importance, or influence of the work.
6. For all multi-authored or collaborative works, the file must specifically describe the candidate's contribution.

7. While quality is more important than quantity, the total record of qualifying publication should demonstrate a sustained pattern of high scholarly quality and significance.

(B) Evidence of visibility is chiefly provided through the following (unordered):

1. National or international awards and honors.
2. Presentations at scholarly conferences (especially refereed or invited presentations).
3. Service as editor of national or international professional journal.
4. Organization of scholarly conferences or symposia/workshops.
5. Active participation on editorial boards or on national boards of scholarly organizations.
6. External and internal funding for research or production.
7. Invited scholarly presentations.

While such evidence will supplement and strengthen the record of research under “(A)” above, it cannot by itself suffice to establish professional distinction.

(C) Evidence of promise of a strong future record is shown through the following:

1. Development of an independent body of significant work beyond the final degree.
2. Sustained and continuous growth in significant research/artistic practice and creative work.

VI. Departmental Criteria for Tenure – Teaching

Candidates for indefinite tenure must be effective teachers.²

“Effective” means that a candidate enables or produces the intended result of student learning. Specifically, candidates should demonstrate course-appropriate content expertise and an ability to transmit such knowledge to students through effective instructional design, delivery, and assessment. Instructional design includes the ability to create, sequence, and present experiences that lead to learning. Instructional delivery refers to the skills that facilitate learning in a respectful environment. Assessment refers to the use of tools and procedures for evaluating student learning, including appropriate grading practices.

² Most probationary faculty are also promoted to the rank of associate professor when they receive indefinite tenure, although tenure may be conferred on an associate professor with a probationary appointment.

“Teaching” is not limited to classroom instruction. It includes other forms of communicating knowledge (to both registered University students and persons in the extramural community) as well as supervising, mentoring, or advising graduate or undergraduate students whether individually or in groups.

Relevant Forms of Evidence

1. Faculty peer review: Methods of evaluation include direct classroom observation of at least two courses; and review of syllabi, statements of goals and objectives, methods employed, assignments, exercises, and examinations prepared for courses.
2. Contributions made to the curriculum of the unit, such as development of courses, course sequences, new areas of instruction, major/minor sequences, substantive refinements of courses, and uses of new technology. Such contributions may be made individually by the candidate or result from participation in committees or workshops devoted to curriculum development and assessment. Grants for curricular development or for the preparation of instructional materials may be presented as evidence of effectiveness in teaching but should be accompanied by evidence of the activities carried out or of the materials developed with the help of the grant.
3. Development of instructional material, including but not limited to computer software, compilations of readings, course guides for Independent Study courses, and publication of textbooks.
4. The primary method of student ratings of teaching is through the student rating of teaching forms from individual classes. In addition, evaluations of teaching may be solicited by the department from students who have already graduated. Student comments on standardized evaluation instruments will also be taken into account. Evidence of effective advising and mentoring degree candidates at the undergraduate level may be provided by, e.g., direction and advising of Honors theses, or of Directed Study, Independent Study, Bachelor of Individualized Study and Individually Designed Interdepartmental Major, and Senior Projects. Probationary faculty are expected to direct major project theses and to mentor undergraduates in other ways.
5. Evidence of effective advising and mentoring degree candidates at the graduate level includes advising at the Master’s and Ph.D. level, thesis and dissertation supervision, and participation in Ph.D. oral and written preliminary exams and professional development and job placement activities. Probationary faculty are expected to serve on graduate committees, although not as the sole advisor to Ph.D. candidates.
6. Teaching awards and other formal recognitions of teaching excellence.
7. Teaching load and range of courses. All faculty are expected to comply with the CLA Workload Policy. The teaching record should reflect a well-balanced mix of levels, subjects, and formats.

A documented record of poor or indifferent teaching may be grounds for denial of promotion and/or tenure even in conjunction with a good record of publication.

N.B. Candidates who have previously held one or more regular faculty positions at accredited universities and colleges elsewhere, and whose prior appointment has reduced the maximum period of probationary service at Minnesota, should provide as much documentation from those previous institutions as possible, including any or all of the above listed forms of evidence.

VII. Departmental Criteria for Tenure – Service

“Service” means that faculty as University citizens actively participate in advancing the interests of the Department of Classical and Near Eastern Studies, the College of Liberal Arts, and the University of Minnesota for the benefit of the institution, the profession and the community.

Service to the department, the college, the University and the profession is an integral component of a faculty member's professional obligation. A faculty member's participation in the governance of the department, service to the college and University, and service to professional organizations and communities related to the candidate's research enhances the faculty member's professional standing, and brings recognition to the department, the college, and the University. Service is recognized as a significant contribution by faculty and is considered during tenure deliberations.

N.B. Candidates who have previously held one or more regular faculty positions at accredited universities and colleges elsewhere, and whose prior appointment has reduced the maximum period of probationary service at Minnesota, should provide as much documentation from those previous institutions as possible, including any or all of the above listed forms of evidence.

Relevant Forms of Evidence

All faculty are expected to participate in the governance and committee work of the department, college, University, and profession. Tenured faculty have a higher responsibility in this regard and should bear a commensurate share of institutional service. Probationary faculty members will not usually be asked to serve as Director of Undergraduate Studies or Director of Graduate Studies.

(A) Examples of service to the institution include but are not limited to:

1. Participation in the administration and governance of the institution.
2. Participation in department, college, and University committees.
3. Active participation in University conferences or symposia.

(B) Examples of service to the profession include but are not limited to:

1. Officer or board member in a state, national, or international professional society.
2. Consultant or referee for professional publications. This includes refereeing articles and books, service on editorial boards, grant and fellowship juries, accreditation or evaluation committees, advising on tenure and promotion decisions, and the like.

(C) Examples of service to the community include but are not limited to:

1. Outreach to K-12 schools or consultancies with non-profit organizations.
2. Providing expert testimony and other forms of public engagement when based on relevant disciplinary expertise.
3. Community lectures on topics within the candidate's academic expertise.
4. Organizing local symposia or exhibits.

VIII. University Standard – Criteria for Promotion to Professor

Regents Policy on *Faculty Tenure*, Section 9.2, Criteria for Promotion to Professor

The basis for promotion to the rank of professor is the determination that each candidate has (1) demonstrated the intellectual distinction and academic integrity expected of all faculty members, (2) added substantially to an already distinguished record of academic achievement, and (3) established the national or international reputation (or both) ordinarily resulting from such distinction and achievement [8]. This determination is reached through a qualitative evaluation of the candidate's record of scholarly research or other creative work, teaching, and service [9]. The relative importance of these criteria may vary in different academic units, but each of the criteria must be considered in every decision. Interdisciplinary work, public engagement, international activities and initiatives, attention to questions of diversity, technology transfer, and other special kinds of professional activity by the candidate should be considered when applicable. But the primary emphasis must be on demonstrated scholarly or other creative achievement and on teaching effectiveness, and service alone cannot qualify the candidate for promotion.

Regents Policy on *Faculty Tenure*, Footnotes to Section 9.2

[8] "Academic achievement" includes teaching as well as scholarly research and other creative work. The definition and relative weight of the factors may vary with the mission of the individual campus. Not being promoted to the rank of professor will not in itself result in special post-tenure review of a tenured associate professor.

[9] The persons responsible for this determination are the full professors in the unit who are eligible to vote. The outcome of the vote is either promotion to the rank of professor or continuation in rank as an associate professor. The procedures for voting are identical to those

outlined in Section 7.4 for the granting of indefinite tenure, the nondisclosure of grounds for the decision (Section 7.5), and the review of recommendations (Section 7.6). In addition, a petition to the Judicial Committee for review of a recommendation of continuation in rank as an associate professor follows the procedures specified in Section 7.7 for decisions about promotion to associate professor and conferral of indefinite tenure.

IX. Departmental Criteria for Promotion to Professor

Promotion to Professor indicates the attainment of distinction within one's field and the highest academic achievement. Promotion to this rank is based on attaining an international scholarly reputation through significant post-tenure publication and/or creative achievements in the individual's area of specialization, continued effective teaching and contributions to instruction, and continued effective service to the department, college, University, and profession. All associate professors are strongly encouraged to work toward promotion to the rank of professor (See Section 7.11 of the Regents Policy on *Faculty Tenure*).

Relevant Forms of Evidence

The forms of evidence used to justify promotion to professor are the same as those used to justify promotion to associate professor in the areas of research, teaching, and service. A higher level of achievement in all three domains, as measured by the distinction, significance, and impact of the research and artistic work, teaching, and service, is required. Regular, high-quality teaching and advising of M.A. and Ph.D. students, in addition to undergraduate instruction and advising, is expected, and service contributions to the department, college, University, and profession should be substantial and significant.

X. Review of Tenured Faculty Performance

Introductory Statement

Section X of this document, Review of Tenured Faculty Performance, is an implementation of the Regents Policy on *Faculty Tenure* (Section 7a), as described in detail in the *Rules and Procedures for Annual and Special Post-tenure Review* approved by the Tenure Subcommittee of the Senate Committee on Faculty Affairs January 5, 1998; and revised by the Tenure Subcommittee March 5, 1998.

Goals and Expectations for Tenured Faculty in the Department of Classical and Near Eastern Studies

In accordance with Section 7a.1 of the Regents Policy on *Faculty Tenure*, the Department of Classical and Near Eastern Studies has established the following goals and expectations for tenured faculty. These goals and expectations are similar to the criteria for tenure and promotion to associate professor, and promotion to professor. Tenured faculty are also expected to participate actively in advancing the interests of the Department of Classical and Near Eastern

Studies, the College, and the University for the benefit of the institution, the profession, and the community

Satisfactory performance in teaching, research and service are expected of all tenure-track and tenured faculty members in the Department of Classical and Near Eastern Studies. The distribution of effort among these three spheres of professional activity may vary by individual and over time in the course of a faculty member's career. For example, a tenured member of the faculty may sometimes assume administrative and/or committee duties that have the potential of diminishing the time available for research and teaching. Some members of the faculty may at some stages of their careers legitimately devote relatively more effort to teaching than to research and vice versa. The department should nurture and benefit from the special strengths of each individual member of the faculty, while not losing sight of the overall responsibilities and obligations that tenure confers upon all members of the faculty.

Research

Tenured faculty are expected to pursue an active agenda of research in their area or areas of academic specialization. While the extent and nature of research activity may vary over time, within any given period of three years tenured faculty should normally be able to report a total of at least two substantial accomplishments within one or more of the following categories:

- publication (or submission) of a scholarly book, article, book chapter, encyclopedia article, review, bibliography, translation, or the like;
- publication (or submission) of an edited scholarly volume, encyclopedia, or reference work;
- refereed or invited research presentation at a scholarly conference or another academic institution;
- organization of a scholarly conference, symposium, workshop, or panel, or of an exhibit or the like at a museum or similar institution

Teaching

Tenured faculty are expected to remain effective teachers and to be actively engaged in communicating knowledge and in supervising, mentoring, or advising students, in compliance with the CLA Workload Policy and the University's equal opportunity policy. This includes:

- teaching courses in the areas of training and research specialization as assigned by the department chair in light of the department's curricular needs;
- maintaining effectiveness in teaching as demonstrated by student evaluations, peer observation of teaching, and/or peer review of syllabi and other course materials;

- being available to students outside of class (e.g., during office hours or via email)

Service

Tenured faculty are expected to perform service within the department, the college and university, and their scholarly disciplines, although the extent and types of service performed may vary over the course of a career. Service includes:

- holding departmental office or participating in departmental committees;
- participating in collegiate or university-wide committee work;
- participating in discussions and voting on hiring decisions, tenure recommendations, and (for full professors) cases of promotion to full professor;
- refereeing articles, book manuscripts, and grant proposals;
- editing scholarly journals or sitting on editorial boards;
- presiding over paper sessions and the like at conferences;
- holding office in or serving on committees for relevant professional organizations;
- outreach activities related to the faculty member's professional expertise.

Annual Post-Tenure Review Process

The Department of Classical and Near Eastern Studies expects that its tenured faculty will be regularly active in all three domains, research, teaching, and service.

Annually in connection with the merit review process each tenured member of the faculty shall give the Merit Review Committee a concise written statement of professional activities proposed for the coming year and a concise written report of accomplishments relating to the previous year's statement. If the committee, upon reviewing these documents, feels that a faculty member's projected goals and/or record of performance falls short of the department's goals and expectations for tenured faculty, the committee will so inform the chair of the department by written memorandum copied to the faculty member. If the chair agrees with the committee's judgment, (s)he will meet with the faculty member to discuss the concerns and how they might be addressed in the future. Following the meeting, if the chair deems it appropriate to do so, (s)he will prepare a brief memorandum summarizing what was discussed in the meeting. Any such memorandum must be presented to the faculty member for his/her acknowledgement of receipt. If the faculty member disagrees with anything in the memorandum, (s)he may request that it be changed and, should the chair be unwilling to do so, may prepare a written response to be filed with the memorandum. The entire process described in this paragraph will constitute the annual review for tenured faculty.

If over the course of two or more annual reviews, the chair of the department and the members of the merit review committee conclude that a faculty member's performance has been and continues to be substantially below the goals and expectations of the department, they may refer the matter to the department's Peer Review Committee, which serves as the department's post-tenure review committee. The Peer Review Committee shall consist of all tenured faculty of the unit, apart from the individual being reviewed. If the committee does not concur with the chair, then the matter is dropped for that year. If the committee concurs with the chair, then the chair of the department and chair of the committee will send the faculty member a memorandum stating the finding. The memorandum must specify the perceived deficiencies in the faculty member's performance, and include "suggestions for improving performance, and establish a time period (of at least one year from the date of the letter) within which improvement should be demonstrated," (Regents Policy on *Faculty Tenure*, Section 7a.2). Both the chair of the department and the chair of the committee should work with the faculty member to improve performance during that time.

Special Post-Tenure Peer Review Process

At the end of the specified time, both the chair and the Peer Review Committee should again review the faculty member's performance. If they both conclude that performance remains substantially below the goals and expectations of the department and of the memorandum, they may jointly ask the dean to initiate "special review," by sending a letter or memorandum to the dean and to the faculty member, setting out their findings along with a copy of the documents they have reviewed. The procedures for conducting a special review are set forth in Section 7a.3 of the Regents Policy on *Faculty Tenure*.

5.5 Exception For New Parent Or Caregiver, Or for Personal Medical Reasons. The maximum period of probationary service will be extended by one year at the request of a probationary faculty member:

1. On the occasion of the birth of that faculty member's child or adoptive/foster placement of a child with that faculty member; or
2. When the faculty member is a major caregiver for a family member[2] who has an extended serious illness, injury, or debilitating condition. A faculty member may use this provision no more than two times; or
3. When the faculty member has an extended serious illness, injury, or debilitating condition.

The request for extension must be made in writing within one year of the events giving rise to the claim and no later than June 30 preceding the year a final decision would otherwise be made on an appointment with indefinite tenure for that faculty member.

Appendix B – Section 7.12 of the Regents Policy on *Faculty Tenure*

7.12 Departmental Statement. [6] Each department or equivalent academic unit must have a document that specifies (1) the indices and standards that will be used to determine whether candidates meet the threshold criteria of subsection 7.11 (“General Criteria” for the awarding of indefinite tenure) and (2) the indices and standards that will be used to determine whether candidates meet the threshold criteria of subsection 9.2 (“Criteria for Promotion to Professor”). The document must contain as an appendix the text and footnotes of subsections 7.11 and 9.2, and must be consistent with the criteria given there but may exceed them. Each departmental statement must be approved by a faculty vote (including both tenured and probationary members), the dean, and other appropriate academic administrators, including the Senior Vice President for Academic Affairs and Provost. The chair or head of each academic unit must provide each probationary faculty member with a copy of the Departmental Statement at the beginning of the probationary service.