

# Department of Earth Sciences, College of Science and Engineering

## 7.12 Criteria for promotion and tenure

Approved by the Faculty, May 6, 2008

Approved by the Senior Vice President for Academic Affairs and Provost, April 2, 2008

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### I. Introduction

This document describes with more specificity the indices and standards that will be used to evaluate whether candidates meet the general criteria in Sections 7.11 and 9.2 of the Regents Policy on Faculty *Tenure* for the following personnel evaluations:

- A. Annual performance appraisal of progress toward achieving tenure.
- B. Recommendation for awarding indefinite tenure according to the Regents Policy on *Faculty Tenure* (University of Minnesota, June, 2007; hereafter cited as *Faculty Tenure*), Section 7.11. General Criteria.
- C. Recommendation for promotion to Associate Professor and Full Professor according to the Regents Policy on *Faculty Tenure*, Section 9.2 Criteria for Promotion to Professor.
- D. Annual performance appraisal for post tenure review according to Section 7a.1 and 7a.2 of *Faculty Tenure*.”

In addition, this document is consistent with the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty* (2007), hereafter referred to as the *Procedures*.

### II. Department of Earth Sciences Mission Statement

The mission of the Department of Earth Sciences is to (i) educate students and professionals at all levels through a dedication to effective teaching, (ii) pursue and disseminate new knowledge through original and creative research, and (iii) advance and apply scientific and technical knowledge and expertise through professional service and outreach.

### III. Annual Appraisals of Probationary Faculty

Probationary faculty will be reviewed annually and progress will be evaluated according to Section 7.11 in *Faculty Tenure*, the *Procedures*, and the criteria described here (Section IV).

All probationary faculty members will have co-mentors who will provide guidance and advice on teaching, research, advising students, and funding opportunities as well as on the appropriate

level of service. Two co-mentors (hereafter the mentoring committee) will be selected through discussion between the Department Chair and the probationary faculty member and with the agreement of the proposed mentors. One or both mentors can be changed upon agreement of the Department Chair and the probationary faculty member. The mentors and the probationary faculty member will meet at least twice a year to discuss the probationary faculty member's progress in research, teaching, and service.

Tenure decisions may be made in any year of the probationary period, as described in Section 5.2 of *Faculty Tenure* and Section 9 of the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty*. A candidate must be considered in a formal tenure review in the last year of the probationary period.

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.)

The department may recommend termination of a candidate's appointment at any time in accordance with Section 10 of the *Procedures for Reviewing the Performance of Probationary Faculty*.

Each year in conjunction with preparation of President's Form 12, the progress of each probationary faculty member will be reviewed by the Chair based on the probationary faculty member's annual written report on their teaching (including teaching evaluations), research, and service activities. Part of the review process will include a discussion with the probationary faculty member plus at least one of the mentors. The written report should contain a list of publications, grants and grant applications, abstracts, invited talks, and courses taught with syllabus, enrollment, and level of responsibility in co-taught courses.

After the Chair's meeting with the probationary faculty member, the Chair will make the probationary faculty member's annual report available to the tenured faculty. If tenured faculty members recommend termination, then a negative vote from 50% or more of the entire tenured faculty is required to terminate the appointment. This information will be included in the Chair's comments in Form 12. The probationary faculty member reviews and signs the President's Form 12.

#### **IV. Conferral of Indefinite Tenure**

Section 7.11 of *Faculty Tenure* specifies the criteria for tenure:

**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. 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.

[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.

To be awarded indefinite tenure in the Department of Earth Sciences, a faculty member must demonstrate effectiveness in teaching and must establish a record of excellence and creativity in scholarly research and its dissemination. These are the primary criteria, and the fulfillment of both is a minimum requirement for the awarding of indefinite tenure. Extraordinary distinction

in teaching alone or in research alone is not sufficient for the granting of indefinite tenure. In the Department of Earth Sciences, teaching and research are valued equally in the tenure decision.

A faculty member may choose to participate in service to the profession and in other governance and service activities. These contributions, however, are secondary to the teaching and research components in evaluations leading to decisions related to the granting of tenure. An outstanding record in the service component alone is not, by itself, sufficient to form the basis for a recommendation to indefinite tenure.

When considering the record of probationary faculty who have stopped the tenure clock (Section 5.5 of *Faculty Tenure*), the criteria for promotion and tenure 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 tenure decision. That is, a record of six years post-hiring with a one-year stopping of the clock must be considered the same way that one considers five years post-hiring with no stopping of the tenure clock.

## **A. Teaching**

Effectiveness in teaching is assessed from the candidate's contributions to the overall teaching mission of the university including, where appropriate, classroom, laboratory and individualized instruction at both undergraduate and graduate levels, the supervising of graduate students, and the advising of postdoctoral personnel.

Examples of factors that may be used in the evaluation of effectiveness in teaching at the undergraduate level include, but are not limited to, the following:

- outcome of evaluations written by students; where quantitative course evaluations are used, performance is expected to be in the satisfactory range. In the Department of Earth Sciences, teaching may include large service courses for non-science majors, smaller classes, and seminars for majors and graduate students. Student evaluations from these different types of classes can show considerable variation. Therefore, department norms for these classes will also be used for comparison;
- results of written evaluations by peers based on classroom visits and review of course materials; interdisciplinary classes will also be evaluated by representatives from other fields;
- development of new courses and/or laboratories;
- supervision of undergraduate research projects;
- advising of undergraduate and professional student organizations;
- development of instructional materials;
- publication of textbooks;
- receipt of local and national awards for teaching;
- participation in of teaching improvement program and demonstration of upward trajectory in teaching evaluations by students.

At the graduate level, the primary consideration in establishing teaching effectiveness is expertise in the teaching of advanced courses, in the conducting of graduate seminars, and in the

supervising of graduate students at the masters and doctoral levels, including peer evaluation of the progress of the candidate's advisees. Other factors that may be taken into consideration at the graduate level are

- outcome of written evaluations by students;
- results of written evaluations by peers based upon classroom and/or seminar visits;
- development of new courses and/or laboratories;
- supervision of postdoctoral personnel and other post-baccalaureate programs and students;
- mentoring of graduate students toward completion of masters and doctoral degrees in a timely manner.

## **B. Research**

The quality of a candidate's original research and the impact of the work within the candidate's professional discipline are the primary criteria by which professional distinction in research is established. Examples of factors upon which an analysis of the research accomplishments of the candidate may include, but are not limited to, the following:

- for all candidates, written evaluations of the candidate's research activities and of the candidate's record of peer-reviewed publications. These evaluations are requested from persons who are generally recognized as leaders in the candidate's research area. An effort should be made to obtain at least eight letters of evaluation. The reviewers may include persons within the University but must include at least six evaluations from outside the University, some of whom should be of international stature. At least half of the reviewers and no fewer than four must not have close relationships with the candidate. The candidate will be asked to suggest the names of reviewers to the Department Chair in consultation with the chair of the departmental promotion and tenure committee. The *Procedures* indicate that the department should seek appraisals both from persons suggested by the candidate and from other recognized scholars in the field. About half of the suggested reviewers should come from the candidate and half from the department.
- for all candidates, written evaluations of the candidate's publications in the form of abstracts, conference preprints, conference proceedings, and other professional publications. These evaluations are an integral part of the documentation upon which the decision on the quality of the candidate's research is based, but they do not form the primary basis for that decision.
- for all candidates, participation in professional conferences, symposia, meetings, and special lectures, especially those for which participation was by invitation;
- for all candidates, establishment and/or maintenance of research facilities appropriate to the candidate's discipline and approach;
- for all candidates, formation of an active research workgroup that may include undergraduate and graduate students, post-doctoral researchers, and technical staff;
- for candidates with a strong interdisciplinary component in his or her research, letters of evaluation from faculty in the related unit(s) and from some external reviewers whose research also crosses similar interdisciplinary boundaries;

- for candidates involved in collaborative research, statements from the candidate, from senior members of the research team, and from other reviewers on the candidates relative contribution to the work.

In evaluating the candidate's research contributions through the various avenues of publication and presentation, the objectives are to establish that the work is of high quality, that it is a scholarly and creative contribution to the candidate's professional discipline(s), and that it is a measure of the candidate's potential to make continuing contributions in the earth sciences.

Other qualifications that the candidate may have acquired and that may be used to establish the candidate's research ability include, but are not limited to, the following examples:

- election to prestigious national organizations that recognize excellence in a discipline;
- awards and honors for research granted by professional societies, government agencies, and industry;
- receipt of external research funding from sources outside the University, only in as much as this is a measure of the research skill and competence of the candidate;
- obtainment of patents, inventions, technology transfer, and other such developments of a significant scientific or engineering nature;
- publication of scholarly review articles and research monographs.

### **C. Service**

In some units, service to the profession is an integral component of a faculty member's professional obligations. It enhances the faculty member's professional reputation, and it brings recognition to the department and the University. By itself, however, service to the profession is not a sufficient basis for the granting of tenure in the Department of Earth Sciences.

Examples of service contributions to the profession include, but are not limited to:

- editor or associate editor of a refereed scientific or technical journal;
- officer in a national or international scientific or technical society;
- member of a national or international scientific or technical committee;
- member of a governmental or private advisory committee;
- organizer or member of the organizing committee for a national or international symposium or conference;
- review of technical and scientific papers for peer-reviewed journals and conference presentations;
- review of proposals for funding agencies;
- participation in public outreach and education.

Participation in the governance of the institution and other services to the University and the Department of Earth Sciences is expected for Earth Sciences faculty and may be included as additional support for a tenure recommendation. Examples of such services include, but are not limited to, active participation in departmental, collegiate, and University committees.

Participation in public outreach events and public education is encouraged and valued. Although

it is considered important for the continued public support of the science and profession of Earth Sciences, it is not a criterion for tenure.

## **V. Promotion**

The following paragraphs describe the criteria for promotion to tenured ranks from within the College of Science and Engineering. The same criteria and standards are applied for appointments from outside.

### **A. To Associate Professor (with tenure) from Assistant Professor (probationary)**

Promotion to the rank of Associate Professor from the rank of probationary Assistant Professor in the Department of Earth Sciences is always accompanied by the granting of tenure. Thus a candidate for promotion to Associate Professor must have established a professional record that meets the requirements for effectiveness in teaching and professional distinction in research as set forth in Section IV. Service contributions are also included in the evaluation of the candidate, but cannot be used in place of either the teaching or the research criteria. Recommendation for promotion to Associate Professor (with tenure) from Assistant Professor (probationary) requires an exceptional majority (2/3) vote of the tenured faculty members.

### **B. To Associate Professor (with tenure) from Associate Professor (probationary)**

The granting of indefinite tenure to an Associate Professor on a probationary appointment requires that the candidate meet all the requirements for effectiveness in teaching and professional distinction in research as set forth in Section IV. Recommendation for promotion to Associate Professor (with tenure) from Associate Professor (probationary) requires an exceptional majority (2/3) vote of the tenured faculty members.

### **C. To Professor from Associate Professor**

Section 9.2 of *Faculty Tenure* specifies the criteria for promotion to Professor:

**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.

[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.

In the Department of Earth Sciences, candidates for promotion to Professor are expected to have a record of accomplishment that substantially exceeds that achieved for promotion to Associate Professor. All Associate Professors are expected to work to achieve promotion to Professor. After a faculty member is promoted to Associate Professor with tenure, a Professor will be selected as a mentor through discussion between the Department Chair and the Associate Professor and with agreement of the proposed mentor. The mentor can be changed upon agreement of the Chair and the Associate Professor. The mentor will advise the Associate Professor on achieving greater professional visibility, participating in professional meetings and on committees, and writing successful grant applications. It is the responsibility of the Department Chair to advise the Associate Professors on their progress as part of the annual departmental performance review process. The mentor and the Associate Professor will meet at least once each year to discuss the Associate Professor's progress in research, teaching, and service.

A candidate for promotion to the rank of Professor must have achieved a high level of professional distinction through research contributions to the candidate's discipline that are distinguished by substance, quality and creativity as well as through consistently high standards in teaching. Service to the profession, participation in the governance of the institution, and other service to the department, college, and University are expected for candidates for promotion to Professor, but they are not in themselves bases for promotion to the rank of Professor. Promotion to the rank of Professor will not be granted solely on the basis of length of service to the academic unit.

For promotion to Professor, the candidate is expected to have a national and international reputation and to satisfy the criteria specified in Section IV, with emphasis on

- high quality research which indicates that the candidate is among the leaders in the field, as documented by letters from acknowledged national and international leaders and contributors to the knowledge base in the field;
- demonstrated high quality teaching;

- mentoring of graduate students to completion of masters and doctoral degrees in a timely manner;
- effective advising of post-doctoral personnel in disciplines where this is appropriate.

Examples of other factors that may be used to establish a candidate's professional reputation include, but are not limited to, the following:

- invitations to national and international symposia and conferences;
- membership and the holding of office in professional societies;
- general professional contributions such as editorships, expository writing, and other activities that enhance the professional stature of the candidate.

The methods of assessment of the performance of a candidate being considered for promotion to the rank of Professor are the same as those employed in the granting of tenure. Recommendation for promotion to Professor from Associate Professor requires an exceptional majority (2/3) vote from the Professors in the department.

## **VI. Post Tenure Review of Faculty Performance**

The goals and expectations for tenured faculty will parallel those used in granting promotion, taking into account the different stages of professional development and providing for flexibility. Tenured faculty in the Department of Earth Sciences are expected to maintain an active research program, teach courses as required by the department in a satisfactory manner, advise students, and serve the goals of the department, the college, and the university. These responsibilities are discussed in more detail in the departmental Workload Statement. The Department of Earth Sciences expects its faculty always to contribute at a high level to the department's mission, but recognizes that flexibility in the distribution among effort among research, teaching, and service is necessary to account for changing circumstances and responsibilities, and to best utilize the talents of its faculty members.

According to Section 7a of *Faculty Tenure* all faculty are reviewed annually as part of the annual merit review process in accordance with Senate policy. The Post-tenure Review Committee (PTRC) will consist of three tenured faculty members and must include the tenured members of the Executive Review Committee (ERC). The chair of the PTRC is the most senior elected member of the ERC. Any members of the ERC who are probationary faculty members will be replaced by a tenured faculty member through a special election of the tenured faculty for the purpose of the PTRC only. If a clear conflict of interest exists, a committee member will excuse herself/himself, and an elected alternate will substitute.

If the faculty member's performance continues to be below expectations then the procedures described in 7a.3 of *Faculty Tenure* will be followed. The following procedure will be followed for post-tenure review:

- The PTRC will meet upon notification that the Department Chair has determined during the annual review process that the performance of a tenured faculty member is substantially substandard in light of the stated faculty workload.

- The PTRC will conduct an independent inquiry. The PTRC may contact individuals both inside and outside the department to obtain additional relevant information.
- After completion of its investigation, the PTRC will vote, by secret ballot, on the statement that “the performance of the faculty member is substantially substandard” in light of the stated faculty workload.
- The PTRC will issue a detailed written report of the investigation and its findings to both the faculty member and the Department Chair. The inquiry, discussion within the PTRC, and report writing will be conducted in a timeframe of less than three months.
- If the PTRC agrees with the Department Chair that the performance of the faculty member is substantially substandard, it should endeavor to find a remediation procedure to which both the faculty member and the Department Chair agree and which can be expected to produce the necessary improvement in performance within a certain time limit (usually one year). The PTRC findings and remediation procedure will be communicated to the faculty member in a letter signed by the Department Chair and the chair of the PTRC. This letter must specify the performance deficiencies and the assistance available to the faculty member to remedy the identified deficiencies.
- The PTRC and the Department Chair will review the performance at the end of the remediation period. If the PTRC and the Department Chair find that the performance of the faculty member continues to be substantially substandard, the PTRC and Department Chair may jointly request that the Dean initiate a special review as provided in the FCC documentation on post-tenure review.

## **VII. Procedures**

The departments of the College of Science and Engineering comply with the procedures as provided by Sections 7.4, 7.61 and 16.3 of *Faculty Tenure*.

The Department of Earth Sciences will have a three member Promotion and Tenure Committee for each probationary faculty member. During the decision year, if not before, this same committee in conjunction with the Department Chair will be responsible for soliciting and reviewing the external review letters for promotion and tenure. The candidate working with his or her mentors will be responsible for assembling the dossier in accordance with the guidelines provided by the College of Science and Engineering. Based on their review of the dossier and the letters of recommendation, the probationary faculty member’s Promotion and Tenure Committee will make its recommendations for the tenure decision to a meeting of the tenured faculty in the Department of Earth Sciences. All of the tenured faculty members are expected to have reviewed the candidate’s file prior to the meeting and participate in the vote. After discussion the faculty will vote. A two-thirds majority of the faculty eligible to vote is required for a positive decision. The same procedures and voting standard will apply to decisions for promotion to Professor; again, all of the Professors are expected to review the files of Associate Professors being reviewed and to participate in the vote.

## Appendix A

**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.