

**Standards for Promotion and Tenure**  
**Required by Section 7.12, Regents Policy on *Faculty Tenure***  
**Department of Economics**  
**College of Liberal Arts**

*Approved by the Faculty of the Department of Economics on November 6, 2009*  
*Approved by the Senior Vice President for Academic Affairs and Provost on November 8, 2009*

## **I. Introductory Statement**

This document is intended to specify the indices and standards to be used by the Department of Economics 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 University of Minnesota 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. Mission Statement**

The mission of the Department of Economics is to produce high-quality research, provide high quality training for graduate students and undergraduate majors, and offer high-quality courses accessible to non-major undergraduates that introduce them to the principles and methods of economics. This mission is an integral part of the broader missions of the College of Liberal Arts and the Graduate School.

Faculty research is expected to make a significant contribution to the body of economic science and/or offer important insights into significant policy issues. It is expected that members of the department will be leading researchers and may be directly influential in the formulation of economic policy at all levels of government.

The department's graduate program emphasizes learning at the current frontier of economic knowledge and state-of-the-art dissertation research. Courses, examinations and thesis research are designed to achieve these ends.

The department's undergraduate major places an emphasis on critical thinking and the understanding of basic economic principles at a level of rigor and generality appropriate to an undergraduate experience. The department sustains a number of courses with limited prerequisites that are open to non-majors as it believes that students' understanding of the world and their ability to be effective citizens will be enhanced through the understanding of basic economic principles.

The department has a national and international reputation for leadership in research and teaching, as evidenced, for example, by repeated high rankings in surveys of faculty quality and effectiveness of graduate programs. Accordingly, the Department values distinguished disciplinary and interdisciplinary research and teaching, and publicly engaged scholarship that disseminates knowledge about Economics and its practical application to widely diverse audiences.

### **III. Annual Reviews of Probationary Faculty**

The tenured faculty of the Department of Economics 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 the evaluation of faculty who have had their probationary period extended are no different than the criteria for faculty who have not had their probationary period extended. 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**

To receive indefinite tenure, a faculty member will be expected to have demonstrated professional distinction in scholarly research and to show evidence of continued

academic distinction. [1] Scholarly achievement shall be the most important criterion used in tenure decisions.

A “distinguished” record is prominent and conspicuous by its excellence and marked by one or more contributions to economics that have had a significant impact on the profession. To achieve this, a candidate must have produced a body of research that is openly available, scholarly, creative, and of high quality and significance, and 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 is more important than quantity.

### **Documentation**

The candidate must establish quality, productivity, visibility, and promise.

(A) Evidence of excellence in research is provided by the candidate's research and publication record. This record is assessed both internally by the department, 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. The following points guide the assessment of the candidate's record:

1. “Openly available” research implies distribution, which includes traditional and electronic publication as well as other media.
2. Scholarly publication can take many forms; among these are original research articles and books, book chapters, edited collections and anthologies.
3. Original research articles may be in the form of publications in peer-reviewed journals as well as widely available working papers.
4. A written work is considered to be published when the final revised manuscript has been accepted by the publisher.
5. For all multi-authored or collaborative works, the file must specifically describe the candidate's contribution.

(B) The following examples illustrate evidence of visibility but are not intended to be exhaustive. Nor should lack of this evidence, by itself, be construed as implying that the candidate's visibility is inadequate.

1. National or international awards and honors.
2. Positive assessments of research quality by distinguished experts in the field from outside the University.

3. The individual's success in attracting external and internal grants and fellowships.
4. Citations, translations, reprints, and/or reviews of a candidate's work may provide evidence of the visibility, importance, or influence of the work.
5. The use of the candidate's work in teaching graduate classes at peer institutions.
6. Organization of scholarly conferences or symposia/workshops.
7. Presentations at scholarly conferences or major performance or exhibition venues (especially refereed or invited presentations).

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

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

## **VI. Departmental Criteria for Tenure – Teaching**

Candidates for indefinite tenure must be effective teachers and must show promise of becoming effective advisers of graduate students.

“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.

"Teaching" is not limited to credit-producing classroom instruction. It encompasses other forms of communication of knowledge (both to students registered in the University and to persons in the extramural community) as well as the supervision, mentoring or advising of individual graduate or undergraduate students, whether individually or in groups. Effectiveness in teaching may be enhanced by the candidate's participation in teaching enrichment programs and training workshops.

### **Documentation**

The following forms of evidence are meant to be illustrative, and a lack of evidence on any of the forms below shall not be construed by itself as evidence of ineffective teaching.

1. A review of courses taught. Such review will include review of course syllabi, statements of goals and objectives, and methods employed, as well as assignments and examinations prepared for the course.
2. A review of any contributions made to the curriculum of the Department (development of courses, course sequences, new areas of instruction, major/minor sequences, substantive refinements of courses, including uses of new technologies, etc.). These contributions may be made individually by the candidate or result from his or her participation in committees or workshops devoted to curriculum development and assessment.
3. Evaluation by peers. Each candidate must offer recent peer review evaluations from at least two faculty members who have observed two different courses (where applicable, these should be one undergraduate and one graduate course). The chair of the department arranges for the peer reviews for the candidate.
4. Development and review of instructional material, including but not limited to computer software, compilations of readings, course guides for Independent Study courses, and publication of textbooks.
5. Student rating of teaching. Student rating forms from all courses taught during the probationary period must be submitted. The primary method of student rating is through course rating forms. Additionally, evaluations may be obtained from students once they have graduated.
6. Review of the quality of and contribution to undergraduate student advising and the direction of Independent Study projects, Senior Projects, and honors theses.
7. Review of the quality and effectiveness of the candidate's contributions to the mentoring or supervising of graduate students in their scholarship and teaching. For example, evidence concerning advising at the Master's and Ph.D. level, Plan B paper and dissertation supervision, Ph.D. oral and written preliminary exam participation, and professional development and job placement activities.
8. Receipt of teaching awards and other formal recognitions of teaching excellence.
9. Any other contribution to the teaching mission of the Department, such as service as Director of Undergraduate Studies, Director of Graduate Studies, or as leader of teaching and professional development workshops within the program, University, profession, or community.

10. Receipt of grants for curricular development or for the preparation of instructional units. Grants alone, however, do not suffice; the successful completion of the project shall also be considered.

*N.B. Prior Service.* Candidates who have previously served in regular faculty positions at accredited universities and colleges elsewhere, and for which service has reduced the maximum period of probationary service at Minnesota, should provide as much documentation from those previous institutions as possible, including any and 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 Economics, the college and University for the benefit of the institution, the profession and the community.

Service to the Department of Economics, 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 enhance the faculty member's professional standing, and bring recognition to the department, the college, and the University. Service is recognized as a significant contribution by faculty and is considered during tenure deliberations.

### **Documentation**

(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. Participation in faculty search, student outreach, and other activities in the department.
4. Administrative appointments in the department, college, and the university
5. 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. Election to prestigious state and national organizations that recognize excellence within the discipline
3. Service as editor of a national or international professional journal
4. Consultant or referee for professional publications
5. Reviewer for grant or fellowship applications
6. Panel reviewer or juror for exhibitions or performances
7. Consulting services to professional organizations and government agencies
8. Reviewer for tenure and promotion cases at other universities or colleges

9. Reviewer for academic programs at other universities or colleges

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

1. Consulting and advisory services to government and non-profit organizations
2. Outreach to K-12 schools
3. Providing expert testimony and other forms of public engagement

### **Departmental Criteria for Tenure – Footnotes to Sections V, VI and VII**

[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.

## **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.

[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. Any candidate for promotion must have attained national or international recognition based on the high quality of her or his research contributions to the discipline. She or he must also be distinguished through the quality, substance, and high standards of his or her teaching and advising, and continued effective service to the Department, University, and the profession. Consideration must also be given to the high quality of scholarship exhibited in directing dissertations and in advising graduate students. 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*).

### **Documentation**

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 areas, as measured by the distinction, significance, and impact of the research, 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 University of Minnesota 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 accordance with Section 7a.1 of the Regents Policy on *Faculty Tenure*, the Department of Economics has established the following goals and expectations for tenured faculty.

The goals and expectations for tenured faculty in the Department are similar to the criteria for tenure and promotion to associate professor, and for promotion to professor. Tenured faculty in the Department of Economics are expected to continue to be recognized and remain visible within her or his domain of research and must continue to produce a body of research that is openly available, scholarly, creative, and of high quality and significance.

Tenured faculty are also expected to remain effective teachers and to be actively engaged in the communication of knowledge and the supervision, mentoring, or advising of graduate and undergraduate students.

Tenured faculty are also expected to participate actively in advancing the interests of the Department of Economics, the College of Liberal Arts, and the University of Minnesota for the benefit of the institution, the profession, and the community.

The goals and expectations are:

*Expectations Regarding Research and Publication*

Research and publication are vital components of the responsibilities of tenured faculty. It is expected that tenured faculty will become and remain leading and influential scholars in their fields of specialization. Examples of satisfactory scholarship include, but are not limited to: involvement in an explicit research program, periodic publication of their works, presentations at scholarly conferences, and success at securing research funding within and outside the University.

*Expectations Regarding Teaching*

Tenured faculty will offer courses at the undergraduate and/or graduate levels at according to the needs of the Department at workload levels established by the College. These courses may include both general department courses and specialty courses in the faculty member's field. Faculty members will also be accessible to students in their courses for consultation at regularly scheduled office hours. The faculty member is also expected to advise M.A. and/or Ph.D. students and direct Ph.D. students in dissertation research. Documentation of effectiveness in teaching and advising will be based on the criteria stated above under criteria for tenure.

*Expectations Regarding Service*

Tenured faculty will remain actively involved in the economics profession. Examples of this include, but are not limited to: participation in scholarly meetings with reasonable frequency, editorial and refereeing service for professional journals, conference planning, service in professional associations, assessment of applications to national grants agencies and involvement in the evaluation of scholarship and standing of individuals for tenure and promotion considerations at other institutions.

Tenured faculty are also expected to contribute regularly to the governance and administration of the department, college, and University. These duties include attendance and participation in department faculty meetings, serving effectively on committees as elected or appointed and other administrative assignments. In all of these endeavors the quality of involvement is paramount.

### **Annual Post-Tenure Review Process**

The Department of Economics expects that its tenured faculty will be regularly active in all three domains: research, teaching, and service.

In accordance with Section 7a.2 of the Regents Policy on *Faculty Tenure*, a faculty member who falls substantially below the goals and expectations in one or more of those domains for two consecutive years will be informed in writing by the Chair and the faculty committee considering the case of her/his performance. She/he will be informed of steps that should be taken to improve in order to meet the Department's goals and expectations in all three domains within a specified period of time. This period of time shall be no less than one year from the date of the letter to the faculty member.

In accordance with Section 7a.3 of the Regents Policy on *Faculty Tenure*, a tenured faculty member in the Department of Economics who continues to be substantially below the goals and expectations of the Department and who has not made sufficient improvement at the end of the time period described in the previous paragraph may undergo a special peer review pursuant to a joint request to the dean by the chair of the Department and the elected peer merit review committee.

The peer merit review committee described above shall consist of the following members of the department of Economics: For Associate Professors: all tenured faculty of the department. For Professors: all professors of the department. An affirmative vote of three-quarters of the relevant peer review committee shall be needed to commence any proceedings under the Post-Tenure Review process.

### **Special Post-Tenure Review Process**

The special peer review of a tenured faculty member at the dean's level follows the process outlined in Section 7a.3.

## **Appendix A – Section 5.5 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.