

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

**Department of History
College of Liberal Arts**

*Approved by the Faculty of the Department of History on September 14, 2009
Approved by the Senior Vice President for Academic Affairs and Provost on October 28, 2009*

I. Introductory Statement

This document is intended to specify the indices and standards to be used by the Department of History 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 9.2 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 History is to promote historical research and the teaching of history and to provide professional service to the academic community, the discipline of history, associated fields of inquiry, and the society at large.

III. Annual Reviews of Probationary Faculty

The tenured faculty of the Department of History 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.

Board of Regents Policy – *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 evidence of continued academic distinction. (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.)

A “distinguished” record is prominent and conspicuous by its excellence. To achieve this, a candidate must have produced a body of research or artistic achievement 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 or artistic practice. 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.

Documentation

A candidate for indefinite tenure must demonstrate high-quality scholarship that provides the foundation for the person to become a leading scholar in her or his field of specialization and to influence research in that field. While quality is more important than quantity, the candidate must present a substantial body of achievement. In most cases this would mean a published book, but a body of significant published work, such as journal articles and book chapters, that is the intellectual equivalent of a book would also qualify.

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

(A) Evidence of excellence in scholarship is provided by the candidate's research and 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. Or paraphrase the text from Section 12.) The assessment of the candidate's record may be informed by, but is not limited to, the following points:

1. Scholarly publication can take many forms; among these are original research articles, book chapters, and books; edited collections, anthologies, critical editions, and translations; reviews; integrative text books that advance the discipline; and published lectures. These may be in print or electronic form. Unpublished research will be considered but cannot be the sole basis for a tenure decision.
2. Peer-reviewed publications will receive greater weight than publications that were not peer reviewed. Publications by leading presses and those appearing in journals, series, or volumes that have stringent peer review and major scholarly significance generally receive the most weight.
3. A written work is considered to be published when the final revised manuscript has been submitted to and accepted by the publisher.
4. Work under review may be considered; this category receives less weight than published or completed work.
5. Publicly engaged scholarship, such as museum exhibits, films, public history events, and websites.
6. "Openly available" research implies distribution, which includes print and electronic publication as well as other media such as audio and video recording or publicly available live performance or exhibition.
7. Translations, reprints, and citations or reviews of a candidate's work may provide evidence of the visibility, importance, or influence of the work.
8. For all multi-authored or collaborative works, the file must specifically describe the candidate's contribution.

(B) Visibility may be demonstrated by, but is not limited to, the following points:

1. National or international awards and honors.
2. Presentations at scholarly conferences, workshops, and colloquia.
3. Participation in the organization of scholarly conferences, workshops, and colloquia at various levels, including within the University of Minnesota, nationally, and internationally.
4. Participation on scholarly editorial boards.
5. External and internal funding for research.
6. Invited scholarly presentations.
7. Requests to review articles, book manuscripts, and grant proposals.

(C) Promise of a strong future record is shown by, but not limited to, the following points:

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

VI. Departmental Criteria for Tenure – Teaching

Candidates for indefinite tenure must be effective teachers.

“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 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.

The candidate is expected to abide by university policies governing student-faculty interactions, classroom management, and academic policies.

At the undergraduate level the candidate must demonstrate sufficient pedagogical ability and breadth of historical knowledge to participate effectively in the Department's undergraduate curriculum. At the graduate level, the candidate must be able to communicate to students the current state of knowledge in his or her field of specialization. Further, the candidate must be ready, upon acquiring tenure, to direct Ph.D. students in dissertation research.

Relevant Forms of Evidence

The assessment of the candidate's teaching record may be informed by, but is not limited to, the following points:

1. Faculty peer review: Methods of evaluation generally include direct classroom observation of at least two courses during the probationary period, review of syllabi, statements of goals and objectives, methods employed, assignments, exercises, and examinations prepared for courses.
2. Review of contributions made to curricular development in the Department and in interdisciplinary activities, such as development of new courses and course sequences, new areas of instruction, 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 within the Department, College, and University.
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. Student Ratings of Teaching: The primary method of student rating of teaching is through course rating forms. Additionally, letters of evaluation may be obtained from students once they have graduated.
5. Evidence of effective advising and mentoring degree candidates at the undergraduate level; for example, evidence concerning Honors theses, Directed Study, Independent Study, Bachelor of Individualized Study (BIS) and Individually Designed Interdepartmental Major (IDIM) mentorship, and Senior Projects.
6. Evidence of effective teaching, advising, and mentoring degree candidates at the graduate level; for example, evidence concerning effective seminar teaching and thesis and dissertation supervision, involvement in M.A. and Ph.D. oral and written preliminary exams, and effective mentoring of professional development and job placement activities.
7. Teaching awards and other formal recognitions of teaching excellence.
8. Grants for curricular development or for the preparation of instructional materials.

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, college, and University for the benefit of the institution, the profession, and the community. Service is recognized as a significant contribution by faculty and is considered during tenure deliberations.

Service to the department, college, University, and profession is an integral component of a faculty member's professional obligation. The History Department values service to the department, college, and University; the profession; and the wider community. It expects of probationary faculty a moderate amount of service since priority is accorded to achievement of excellence in scholarship and effective teaching. Service contributes to faculty governance at all levels of the University; to the profession's promotion of excellent scholarship and effective teaching; and to the dissemination of historical knowledge and new pedagogies to the community.

It is anticipated that a candidate for indefinite tenure will be active in the historical profession at large and related scholarly communities. Activities such as editorial service for professional journals, conference planning, and service in professional associations are encouraged as promoting the visibility of the Department and advancing the discipline, but distinction in these activities is not sufficient for awarding tenure and will not compensate for shortcomings in teaching or research. A candidate for indefinite tenure will demonstrate a willingness to contribute to the Department's administrative responsibilities.

Relevant Forms of Evidence

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

1. Participation in the administration and governance of the institution, including the Department.
2. Participation in Department, CLA, and University committees.
3. Active participation in the organization of conferences, workshops, and colloquia at the University.

(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.
3. Reviewer for grant or fellowship applications.
4. Consulting services to professional organizations and government agencies.

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

1. Outreach to K-12 schools.
2. Consulting services to non-profit organizations and governmental agencies.
3. Providing expert testimony and other forms of public engagement.
4. Involvement as scholar and teacher with community organizations other forms of public engagement.

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 a national or international scholarly reputation through significant 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 the 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. The department also values highly service to the wider community.

X. Review of Tenured Faculty Performance in the Department of History

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 the Department of History

In accordance with Section 7a.1 of the Regents' Policy on *Faculty Tenure*, the Department of History has established the following goals and expectations for tenured faculty. The goals and expectations for tenured faculty in History are similar to the criteria for tenure and promotion to associate professor, and promotion to professor.

Tenured faculty in the Department of History 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 be actively engaged in the communication of knowledge and the supervision, mentoring, and advising of graduate and undergraduate students.

Tenured faculty also expected to participate actively in advancing the interests of the Department of History, College, and University for the benefit of the institution, the profession, and the community

Department Expectations of Tenured Faculty

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. Satisfactory scholarship is understood as involvement in an explicit research program, periodic publication of peer-reviewed 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 both the undergraduate and graduate levels at workload levels established by the College. At the undergraduate level, the faculty member will offer well-constructed and clearly presented courses based upon current scholarship. These courses will 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. At the graduate level, faculty will guide students and communicate the current state of knowledge in their fields of specialization. Faculty members will normally offer graduate proseminar and research seminars on a regular basis as required or justified by the department program and student interest. They will also advise M.A. and 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 historical profession. They will be expected to participate in scholarly meetings with reasonable frequency and engage in such activities as editorial service for professional journals, conference planning, and service in professional associations. Professional service also will include the evaluation of manuscripts submitted to

scholarly journals and presses; 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. They will attend and participate in regular and special department faculty meetings and especially those dealing with tenure, promotion, and the appointment and retention of faculty; serve effectively on various committees as elected or appointed; and agree to accept administrative assignments. In all of these endeavors the quality of involvement is paramount.

Where feasible, tenured faculty will also be involved in community service as described under the criteria for tenure.

Annual Post-Tenure Review Process

The Department of History expects that its tenured faculty will be regularly active in all three domains, research, teaching, and service. During the annual merit review, the tenured members of the department Committee on Promotion, Tenure, and Merit (PTM), the members of which are elected by secret ballot for two-year staggered terms, will review each faculty member's performance. If, in the annual review, a faculty member's performance appears to be substantially below the stated Goals and Expectations of Tenured Faculty, the committee reports this judgment to the chair of the department. 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 will be informed in writing of her/ his performance and will be informed of steps that should be taken to improve and meet the department's goals and expectations in all three domains within a specified period of time. This specified period will be at least one year from the date of the letter to the faculty member.

Only tenured members of PTM may participate in this and any subsequent part of the post-tenure review process. The chair may also instruct the PTM committee to examine the performance of specific faculty members. If both the chair and the PTM committee find a faculty member's performance to be substantially below the goals and expectations of the department, they will send a letter to the faculty member, describing and explaining that finding. The letter will be signed both by the chair of the department and by the chair of the committee, will specify the deficiencies, and will set a time period of at least one year from the date of the letter during which the faculty member should address the identified problems. The faculty member may communicate to the chair in writing relevant information to dispute the PTM committee judgment. The chair will also meet individually with the faculty member whose work is alleged to be substandard in order to discuss the means of improving the faculty member's performance to acceptable levels. During the following year, the chair and the PTM committee will work with the faculty member to improve performance and remedy perceived deficiencies during that time.

At the end of the specified time, both the chair and the PTM committee will again review the faculty member's performance. If they again find that performance is substantially below the goals and expectations of the department, they may ask the dean to initiate a special peer review

of that faculty member. To commence this process, the chair of the department and the PTM committee will send a letter or memorandum to the dean and to the faculty member, setting out their findings with a copy of the documents they have reviewed.

Special Post-Tenure Peer 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.