

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

Institute of Linguistics (LING)
College of Liberal Arts

Approved by the Faculty of LING on May 22, 2018

Approved by the Executive Vice President for and Provost on June 19, 2018

I. Introductory Statement

This document describes with greater specificity the indices and standards that will be used by the Institute of Linguistics (LING) to evaluate whether candidates meet the University of Minnesota's general criteria for indefinite tenure 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 set out in section 9.2 of the same Regents policy. For a complete overview, the reader is advised to review sections 7 and 9 in their entirety. This document is also consistent with the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty*.

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

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

II. Departmental Mission Statement

The mission of the Institute of Linguistics (LING) is to support the educational goals of the University of Minnesota and of the College of Liberal Arts by advancing programs of research and teaching related to the foundational areas and other subfields of Linguistics as defined by the discipline at large. LING promotes original research, creative teaching and advising, and public service and expects its faculty to actively contribute to the mission of LING. LING will accomplish its mission by encouraging research in these areas, by developing and maintaining curricula that contribute to the degree programs of the College and to the LING undergraduate major and minor and graduate major and minor and by collaborating with other academic programs within and without the College to promote the advancement of areas of knowledge related to Linguistics.

III. Annual Reviews of Probationary Faculty

Pursuant to Section 7.2 of the Regents Policy on *Faculty Tenure*, each probationary faculty member's performance will be evaluated annually by the department's tenured voting faculty with a recommendation of continuation in rank, promotion, or termination. A summary of the evaluation will be written by the department chair and given to the candidate. This will be followed by a mandatory meeting between the department chair and faculty member to discuss the review and its recommendation. This written summary is provided on Form UM12 and is signed by the candidate, the chair of the department, the dean of CLA, and the executive vice president and provost.

In each year of probation before the candidate seeks tenure, the department's voting faculty will conduct a rigorous, pre-tenure review of the candidate's scholarly, teaching, and service record. It will advise the candidate in writing of weaknesses and strengths in his or her record and recommend what needs to be achieved to bolster his or her record for tenure and promotion. The chair will meet with the probationary faculty member to discuss the contents of the review and respond to any questions the probationary faculty member may wish to raise.

When continuation is recommended during the probationary period, a formal action on tenure and promotion is not required until the 6th year of the probationary period. If a recommendation is made in favor of early tenure, a process for formal action will be initiated immediately. Procedures for taking formal action comply with Section 7.2 of the Regents Policy on *Faculty Tenure* (effective June 10, 2011).

A recommendation for the termination of a probationary, tenure-track faculty member prior to the decision year will be followed by a formal review process which conforms with Section 6.2 and Section 7.4 of the Regents Policy on *Faculty Tenure*.

When a faculty member is considered for tenure and promotion, the following steps will be followed: 1) a committee, which may include non-voting faculty from departments related to the candidate's disciplinary focus, will be formed to assist in assembling the supporting record and preparing a dossier on behalf of the candidate; 2) the dossier and supporting material will be submitted to the department for review and discussion; 3) a vote will be cast by a written unsigned ballot with action taken by a majority decision from the department's voting tenured faculty; 4) a report of the vote and a summary of faculty views both for and against promotion and tenure will be written by a member of the department's Promotion and Tenure review committee (which may be the department chair); 5) after receiving the faculty report, the department chair will write a separate statement for or against the candidate's tenure and promotion; 6) the department chair will meet with the candidate to convey the results of the evaluation; 7) the candidate may then inspect the entire file and provide a written response if he or she so chooses; 8) the file, department vote and written summary, the statement of the chair, and the response of the faculty member, if any, are then forwarded to the college for further review.

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

extension of the probationary period. Extension of the probationary period in accordance with Section 5.5 may not be a factor in the evaluation.” See Appendix A for Section 5.5 of the Regents Policy on *Faculty Tenure*.]

IV. University Standard – General Criteria for Tenure

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

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

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

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

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

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

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

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

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

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

V. Departmental Criteria for Tenure — Research

Candidates for promotion to associate professor and indefinite tenure must have established a distinguished record of academic achievement and must demonstrate evidence of continued academic distinction. The candidate must have produced a body of research that is of high quality and significance and which is recognized within his or her research practice. Emphasis is placed on the public availability and quality rather than on mere publication and quantity of the research.

Relevant Forms of Evidence

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. The candidate's record is assessed internally by relevant LING faculty, and externally by recognized experts from outside the University. The external reviewers determine whether the candidate's record is openly available, scholarly, creative, and of high quality and significance. In the deliberations, the following will guide the assessment of the candidate's record:

1. Publicly available research implies distribution, which includes traditional and electronic publication as well as other media such as audio and video recording.
2. Accepted scholarly publications can take many forms; among these are original research articles and books, book chapters, edited books, conference proceedings, reviews, textbooks that advance the discipline, and published lectures that are invited and peer reviewed.
3. The candidate's peer-reviewed publications receive more weight. Publications by eminent presses and in journals with stringent peer review receive the most weight.
4. LING recognizes the final revised manuscript that is accepted by a publisher as a published work.

5. Work under review is considered but with less weight than published work.
6. Translations, reprints, and citations and reviews account for the candidate's visibility in the field.
7. Multi-authored works that are clearly marked for amount of contribution also receive due consideration. It is understood that in some areas of the discipline, multi-authored works are common.
8. A written work is considered published when it satisfies two standards: it is under contract, and in production. The candidate is asked to produce the actual contract or another form of evidence showing the work has been accepted for publication. A book, journal article, or book chapter will be considered in production when a letter from the director or editor is sent and states that the work: a) has gone through all rounds of reviews; b) all corrections/revisions have been completed; c) the fully completed/revised manuscript is in the hands of the press or journal; d) the press or journal has put it on a production schedule.
9. While quality is more important than quantity, the candidate must present a sustained and substantial body of achievement.

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

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

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

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

VI. Departmental Criteria for Tenure —Teaching

The granting of indefinite tenure is based upon a demonstrated record of teaching effectiveness and excellence in classroom and individualized instructional settings at both the undergraduate and graduate levels. This involves evidence of a high level of competency in the development and delivery of instructional material, but it may also include innovative contributions to programmatic and curriculum initiatives within the department.

Relevant Forms of Evidence

1. For student ratings of teaching , LING uses the University's standard Student Rating of Teaching (SRT) instrument, administered by the Office of Measurement Services. If the candidate requests it, additional evaluations might be sought from former students.
2. LING uses faculty peer review through direct classroom observation (at least two courses), as well as review of syllabi, statements of goals and objectives, methods employed, assignments, exercises, and examinations prepared for courses.
3. Other evaluations in the form of teaching awards and other formal recognitions of teaching excellence will be considered.
4. The candidate's effectiveness in advising and mentoring degree candidates at the undergraduate level (Honors theses, Directed Study, Independent Study, BIS and IDIM mentorship, and Senior Projects) is taken into consideration.
5. Similarly, the candidate's effectiveness in advising and mentoring degree candidates at the graduate level (Master's and Ph.D. level, thesis and dissertation supervision, Ph.D. oral and written preliminary exam participation, and professional development and job placement activities) is taken into consideration.
6. LING also considers significant the candidate's development of new courses, new areas of instruction, substantive refinements of courses, and uses of new technology.
7. If the candidate participates in group activities that deal with the curriculum, the individual's contribution is assessed accordingly.
8. LING accepts as teaching, development of instructional materials, including but not limited to computer software, compilations of readings, course guides for Independent Study courses, and publication of textbooks.
9. Other matters taken into consideration are grants for curricular development or for the preparation of instructional materials and noteworthy contributions to the teaching and advising mission of the unit.

VII. Departmental Criteria for Tenure — Service

Service to LING, 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 LING, 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 brings recognition to the program, the College, and the University. It should be stated, however, that service is not a primary criterion. A candidate's service record, no matter how distinguished, cannot be construed as a satisfactory substitute for significant shortcomings in the primary areas of research and teaching. Service to LING and the profession strengthens the record for promotion.

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 LING;
2. Participation in LING, College, and University committees;
3. Administrative appointments in LING, the College, and the University; and
4. 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. Organizer of professional meetings and panels in professional conferences;
4. Consultant or referee for professional publications. This includes refereeing articles and books, service on editorial boards.
5. Reviewer for grant or fellowship applications;
6. Consulting services to professional organizations and government agencies. This includes service on accreditation or evaluation committees and advising on tenure and promotion decisions, and the like.

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

1. Outreach to K-12 schools and consultancies with non-profit organizations; and
2. Providing expert testimony and other forms of civic engagement.
3. Engagements with community organizations for lectures, and/or exhibitions.
4. Sponsoring, organizing, and/or hosting educational conferences, seminars, symposia, panels, and workshops with community groups.

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

For the promotion to professor, a higher level of achievement in the three domains outlined for promotion to associate professor is required. Regular, high-quality teaching and advising of M.A. and Ph.D. students, in addition to undergraduate instruction and advising is expected. Additionally, service contributions to LING, the University, and the profession should be substantial and significant. 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*).

Procedures for Promotion to Professor

The candidate, the department chair, or the departmental review committee may recommend a formal review process for promotion to the rank of professor. When a faculty member is considered for promotion to the rank of professor, the following steps will be taken: 1) a committee will be formed to assist in assembling the supporting record and preparing a dossier on behalf of the candidate; 2) the dossier and supporting material will be submitted to the department for review and discussion; 3) a vote will be cast by a written unsigned secret ballot with action taken by a majority decision from the department's voting tenured faculty who hold the rank of professor; 4) a report of the vote and a summary of faculty views both for and against promotion will be written; 5) after the discussion and vote of the faculty, the department chair will write a separate statement for or against promotion; 6) the candidate may then inspect the entire file and provide a written response if he or she so chooses; and 7) the file, the department's faculty vote and written summary, the chair's statement, and the response of the faculty member, if any, are then forwarded to the college for further review.

X. Review of Tenured Faculty Performance in LING

Introductory Statement

This section is an implementation of the University of Minnesota Regents Policy on *Faculty Tenure* (Section 7a), as described in detail in section VI of the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty*.

Goals and Expectations for Tenured Faculty in LING

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

Expectations Regarding Research

Tenured faculty in LING are expected to continue to be recognized and remain visible within their domain of research, and must continue to produce a body of research that is openly available, scholarly, creative, and of high quality and significance. While the extent and nature of research activity may vary over time, within any given period of three years, tenured faculty should normally be able to report a total of at least two substantial accomplishments within one or more of the following categories:

- publication (or submission) of a monograph, research article, book chapter, edited book, conference proceeding, review, textbook that advance the discipline, published lectures that are invited and peer reviewed or the like;
- refereed or invited research presentation at a scholarly conference or another academic institution;
- organization of a scholarly conference, symposium, workshop, or panel at a professional conference;
- active engagement in one or more research projects alone or in collaboration with fellow scholars or communities;
- receipt of a prestigious external grant or fellowship.

Expectations Regarding Teaching

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

- teaching courses in the areas of training and research specialization as assigned by the department chair in light of the department's curricular needs;

- maintaining effectiveness in classroom teaching as demonstrated by student evaluations, peer observation of teaching, and/or peer review of syllabi and other course materials;
- maintaining effectiveness in advising and mentoring degree candidates at the undergraduate level and the graduate level;
- maintaining effectiveness in mentoring graduate teaching assistants and graduate instructors;
- developing new courses in line with the department's curricular needs approved by the department chair.

Expectations Regarding Service

Tenured faculty are expected to participate actively in advancing the interests of LING, and the College and University for the benefit of the institution, the profession, and the community. Service includes:

- Participation in the administration and governance of LING;
- Participation in LING, College, and University committees;
- Administrative appointments in LING, the College, and the University;
- Active participation in University conferences or symposia;
- Officer or board member in a state, national, or international professional society;
- Election to prestigious state and national organizations that recognize excellence within the discipline;
- Organizer of professional meetings and panels in professional conferences;
- Teaching in summer schools organized by professional societies;
- Consultant or referee for professional publications. This includes refereeing articles and books and service on editorial boards;
- Reviewer for grant or fellowship applications;
- Consulting services to professional organizations and government agencies. This includes service on accreditation or evaluation committees and advising on tenure and promotion decisions;
- Outreach to K-12 schools and consultancies with non-profit organizations;

- Providing expert testimony and other forms of civic engagement;
- Engagements with community organizations for lectures, and/or exhibitions;
- Sponsoring, organizing, and/or hosting educational conferences, seminars, symposia, panels, and workshops with community groups.

Annual Review

Pursuant to Sections 7a.2 and 7a.3 of the Regents Policy on *Faculty Tenure*, each tenured faculty member's performance will be evaluated annually by the chair of LING and its tenured voting faculty to award merit and enhance productivity in the areas of scholarly/ research/ creative accomplishments, teaching performance, and service contributions. A summary of the evaluation will be written by the LING chair and given to the candidate. This will be followed by a mandatory meeting between the department chair and faculty member to discuss the review and its recommendations.

Post-Tenure Review in Cases of Alleged Substandard Performance by Tenured Faculty

LING expects that its tenured faculty will be regularly active in research, teaching, and service. In accordance with Section 7a.3 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 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 (at least 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*, if at the end of the time period described in the previous paragraph, a tenured faculty member in LING continues to be substantially below the goals and expectations of the unit and there has not been a sufficient improvement of performance, the LING Chair may request that the dean initiate a special peer review of that faculty member.

Process for Special Peer Review in Cases of Alleged Substandard Performance by Tenured Faculty

The special peer review of a tenured faculty member at the dean's level follows the process outlined in Section 7a.3 of the Regents Policy on *Faculty Tenure*.

Appendix A – Section 5.5 of the Regents Policy on *Faculty Tenure*

5.5 Extension Of Maximum Probationary Period For New Parent Or Caregiver, Or For Personal Medical Reasons.

Upon the written request of a probationary faculty member, the maximum period of that faculty member's probationary service will be extended by one year at a time for each request:

- (a) On the occasion of the birth of the faculty member's child or placement of an adoptive/foster child with the faculty member. Such a request for extension will be granted automatically if the faculty member notifies the unit head, dean, and executive vice president and provost in writing that the faculty member is eligible for an extension under subsection 5.5 because of the birth or adoption/foster placement; or
- (b) If the faculty member is a major caregiver for a family member with an extended serious illness, injury, or debilitating condition and the executive vice president and provost determines that the circumstances have had or are likely to have a substantial negative impact on the faculty member's ability to work over an extended period of time;
- (c) If the faculty member has an extended serious illness, injury, or debilitating condition, and the executive vice president and provost determines that the circumstances have had or are likely to have a substantial negative impact on the faculty member's ability to work over an extended period of time. If the faculty member's illness, injury, or debilitating condition reduces the faculty member's ability to work to less than two-thirds time during the faculty member's contract year [i.e., the academic year or twelve months], the probationary period is automatically extended by one year in accordance with subsection 5.3.

“Family member” means a faculty member’s spouse or domestic partner, child, or other relative. “Child” includes a biological child, an adopted or foster child, and the child of a spouse or domestic partner.

The probationary period may be extended for no more than three years total, except that the extension may be for no more than one year total for (1) an instructor with a probationary appointment under subsection 6.22 or (2) an associate professor or professor with a three-year probationary appointment under subsection 6.21.

The notification of birth or adoption/foster placement for provision (a) and the request for extension for provisions (b) and (c) in this subsection 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.

A request for an extension under provision (b) or (c) will not be denied without first providing the faculty member making the request with an opportunity to discuss the request in a meeting with an administrator designated by the executive vice president and provost. A claim that a

request for an extension under provision (b) or (c) was improperly denied may be considered in any subsequent review by the Senate Judicial Committee of a termination under subsection 7.7.

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

7.12 Departmental Statement. [FN5] 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); (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"); and (3) the goals and expectations to be used in evaluating faculty members' performance under subsection 7a ("Review of the Performance of Faculty Members"). The document must contain 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 executive vice president 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. [INTERP 3]