

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

**Department of Psychology
College of Liberal Arts**

*Approved by the Faculty of the Department of Psychology on May 3, 2010
Approved by the Senior Vice President for Academic Affairs and Provost on June 21, 2010*

I. Introductory Statement

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

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

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

II. Mission Statement

The mission of the Department of Psychology, in accordance with its long and distinguished history, comprises three objectives: significant contributions to the basic science of psychology and the applications of that science through creative scholarship; the thorough training of future generations in psychological science and its methods; and leadership and service to the discipline, the profession, the University, and the public.

III. Annual Reviews of Probationary Faculty

The tenured faculty of the Department of Psychology 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 the Regent's Policy on *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. The evaluation should be based on the body of work rather than the number of years in rank. In other words, a faculty member who extends the probationary period for one year should not be held to a higher standard of productivity because of the extra year. 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 justifying the expectation that the candidate for indefinite tenure will go on to achieve Professor status.¹

A “distinguished” record is prominent and conspicuous by its excellence. To achieve this, a candidate must have produced a body of research 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 is more important than quantity.

Evaluations of research, teaching, and service are complex, involving individual opinions, interpretations, values and judgments of scientific and educational matters. Consequently, absolute rules for weighting the components of the documented evidence cannot be set. However, the Department of Psychology believes that excellence in research and scholarship form the cornerstone for excellence in teaching, especially at the graduate level, and affords the opportunity for service.

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.

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 the college, and externally, by a panel of recognized experts from outside the University, to determine whether it is openly available, scholarly, creative, and of high quality and significance. (See Section 12 of the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty* for details about reviewers.) The following points guide the assessment of the candidate's record:

1. The record must demonstrate clear evidence of excellent scholarship and an ongoing, successful program of independent research.
2. There must be evidence of substantial research productivity, including publication in refereed journals of prominence in the area.
3. Excellence of scholarship is more important than the number of publications. Nonetheless, the level of productivity is expected to be “substantial” by the standards of that area. Excellence is judged by the substantive content, the originality of the research, the impact and recognition of the work, and the prominence of the journal in which it appears.
4. Technical reports, book chapters in edited volumes, and articles in non-refereed journals have not usually undergone competitive peer review and may therefore be perceived as not meeting the same high standards for publication as articles in prominent scholarly journals for which acceptance is based on competitive peer review. Accordingly, it is expected that the candidate’s research dossier will include explanations of the scholarly importance of the contributions contained in such works.
5. The record should demonstrate effort toward obtaining research support.
6. “Openly available” research implies distribution, which includes traditional and electronic publication as well as other media such as audio and video recording.
7. Scholarly publication can take many forms; among these are original research articles and books, book chapters, edited collections and anthologies, critical editions, translations, reviews, integrative text books that advance the discipline, and published lectures.
8. A written work is considered to be published when the final revised manuscript has been accepted by the publisher.
9. Work under review may be considered; this category receives less weight than published or completed work.
10. Translations, reprints, and citations or reviews of a candidate's work may provide evidence of the visibility, importance, or influence of the work.
11. For all multi-authored or collaborative works, the file must specifically describe the candidate's contribution.

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

1. National or international awards and honors.

2. Service as editor of national or international professional journal.
3. Active participation on editorial boards.
4. Membership on national research advisory committees.
5. Presentations at scholarly conferences (especially refereed or invited presentations).
6. Organization of scholarly conferences.
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 and creative work.

VI. Departmental Criteria for Tenure – Teaching

It is expected of every faculty member in the Department of Psychology that she or he is an effective teacher at both the undergraduate and graduate levels, whose instruction reflects familiarity with the current state of disciplinary thought.

“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. Additional recognition may be given to the development of new courses or new teaching methods and/or regularly teaching service courses (e.g., those required of undergraduate psychology majors).

"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. Effectiveness in teaching will be determined by the consideration of the following:

Documentation

1. A review of courses taught. Particularly important are those courses that were developed by the candidate. 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). It is the responsibility of the Chair in consultation with the candidate to arrange the peer teaching evaluations.
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. Students' ratings of teaching from all courses taught during the probationary period must be submitted. The primary method is through the student rating of teaching 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 and post-doctoral research associates 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 Psychology, the college and University for the benefit of the institution, the profession and the community.

Service to the department, the college, the University and the profession is an integral component of a faculty member's professional obligation. A faculty member's participation in the governance of the department, service to the college and University, and service to professional organizations and communities related to the candidate's research 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. Administrative appointments in the department, college, and the university
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. Consultant or referee for professional publications
4. Reviewer for grant or fellowship applications
5. Panel reviewer or juror for exhibitions or performances
6. Consulting services to professional organizations and government agencies
7. Reviewer for tenure and promotion cases at other universities or colleges
8. Reviewer for academic programs at other universities or colleges

(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
2. Providing expert testimony and other forms of public engagement.

VIII. Joint Appointments

If faculty members are engaged in interdisciplinary work that involves a joint appointment in two or more departments, this must be taken into account during the evaluation process. The Chair of the psychology department should meet with the Chair(s) of the other department(s) and the faculty member who has the joint appointment during his/her first year to establish a clear set of written expectations regarding how the faculty member will be evaluated by each department. For example, it should be made clear which specific research, teaching, and service activities are deemed by each department to be most important in making satisfactory progress toward promotion. This information will be reviewed annually and will be considered both in the annual review process and when promotion decisions are made by the primary department (the one formally making the tenure decision) and the secondary department(s).

IX. 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.

X. 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. All associate professors are strongly encouraged to work toward promotion to the rank of professor (See Section 7.11 of 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 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. While considering the full record, the review for promotion to professor will emphasize the work since the previous promotion. In particular, the Department of Psychology expects:

1. Evidence of distinguished scholarship and an ongoing, successful program of research.
2. Evidence of substantial research productivity including multiple significant contributions advancing the field published in journals, series, and volumes of prominence in the field. Excellence is expected.
3. A pattern of research activity and productivity that promises to continue well into the future.
4. Achievement of discipline-wide recognition for significant research contributions.
5. A record of continuing success in classroom instruction of both undergraduates and graduate students, including teaching of contemporary materials and responsible handling of instructional duties. Again, excellence is expected.
6. A record of success as a trainer/mentor of Ph.D. students.
7. Evidence of significant contributions to the discipline and the profession through service activities.
8. Responsible handling of departmental and institutional service tasks and opportunities.

XI. Review of Tenured Faculty Performance

Introductory Statement

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

Goals and Expectations for Tenured Faculty

The Department of Psychology's goals and expectations for tenured faculty are based upon standards for research, teaching and service given in the department's Statement of Standards for Tenure and Promotion. Specifically, tenured faculty are expected to contribute to the Department's mission in research, teaching and service.

In accordance with Section 7a.1 of the Regents Policy on *Faculty Tenure*, the Department of Psychology has established the following goals and expectations for tenured faculty.

1. RESEARCH

Faculty members are expected to achieve excellence in their scholarship and to maintain an active ongoing program of independent research. An important indicator of research productivity is publication in peer-reviewed journals. Although excellence of scholarship is more important than the absolute number of publications, faculty members' research productivity is expected to be "substantial" by the standards of that area. Research excellence will be judged by substantive content of research publications, the originality of the research, the impact and recognition of the work, and the prominence of the journal or series in which it appears. Research productivity and excellence will also be evaluated by: books (as author or editor), book chapters, scholarly presentations, scholarly awards, and research grants or contracts. Achievement of recognition in the field on the basis of scholarship (as indicated by, for example, editorships and memberships on national research advisory committees) is also taken into consideration.

2. TEACHING

Faculty members shall demonstrate continued success in the teaching of both undergraduate and graduate students, including contemporary instruction, responsible handling of teaching duties, and success in advising graduate student research. Effectiveness will be evaluated by: number and progress of graduate student advisees, service on graduate student examining committees, review of courses taught at the graduate and undergraduate level, teaching awards and grants, number and progress of undergraduate advisees, textbooks published, and student course ratings and evaluations.

3. SERVICE

Faculty members are expected to be involved in service to their discipline, the profession, the public, and the university, college or department, as appropriate. Service contributions include committee work, holding office in the department, college, university, and profession, editorial activities, grant review, and other professional service to the discipline.

Annual Post-Tenure Review Process

In conjunction with annual reviews for merit increases, the Chair of the Department of Psychology will identify tenured faculty members who the Chair judges to be substantially and consistently below departmental expectations as indicated by an overall evaluation of the faculty member's research, teaching, and service contributions over the previous three years. The Chair will communicate this evaluation along with supporting documents (e.g., Faculty Activity Report, Curriculum Vitae) in confidence to the tenured members of the Department's elected Executive Committee. If a majority of the tenured elected members of the Executive Committee concur with the Chair's evaluation, then the Chair will provide each faculty member so identified with a summary, in writing and in a meeting, of the specific performance deficiencies that led to the negative evaluation. The letter must be signed both by the Chair and the tenured faculty on

the Executive Committee. At this time, the identified faculty member may respond orally and in writing to the Chair. If the Executive Committee includes fewer than 3 tenured faculty, a special committee will be constituted for the purpose of this evaluation. It will consist of the tenured faculty from the current and immediately previous Executive Committees.

The Chair will explore with the faculty member ways to improve his or her performance. This may involve a temporary reallocation of effort across research, teaching and service. This plan must be in writing, signed by both the Chair and the Executive Committee; it may be part of the initial letter from the Chair and the Executive Committee or it may follow that letter. The Chair and faculty member will meet annually for the next three years to review progress and reassess strategies for improving productivity.

If at the end of the three-year period, the designated faculty member is still judged by the Chair and a majority of the tenured members of the Executive Committee to be substantially and consistently below departmental goals and expectations for a tenured faculty member, then the case will be referred for discussion and vote by all department faculty at the full professor rank. If at least 2/3rds of the eligible voting Full Professors concur with the judgment that the faculty member's performance is substantially and consistently below the department's goals and expectations, then the case will be referred to the Dean of the College of Liberal Arts for "special review." This referral will include a letter from the Chair summarizing the case along with all relevant votes and supporting documents. The special review will be conducted in accordance with the procedures specified in *Rules and Procedures for Annual and Special Post-Tenure Review* approved by the Tenure Sub-committee January 5, 1998 and revised by the Tenure Sub-committee March 5, 1998.

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.

XII. Exceptional Majority

For the award of tenure and/or promotion, the Department of Psychology requires an exceptional majority of affirmative votes by at least two thirds of the eligible voting faculty comprising those present and those voting by mail ballot.

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.