

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

**Department of Speech-Language-Hearing Sciences
College of Liberal Arts**

*Approved by the Senior Vice President for Academic Affairs and Provost on February 22,
2010*

Approved by the Department of Speech-Language-Hearing Sciences on February 12, 2010

I. Introductory Statement

This document is intended to specify the indices and standards to be used by the Department of Speech-Language-Hearing Sciences 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 ability to communicate is a central characteristic in individuals' lives. When children or adults are unable to communicate clearly, they are vulnerable for poor educational, career, economic, and interpersonal outcomes. Since its beginnings in 1927, the Department has been committed to the three-fold mission of research, teaching, and service activities related to the science and practice of human communication. Our central aim is twofold: to carry out basic and applied research on the behavioral and physiological mechanisms underlying typical and atypical variation in communication abilities, and to find cutting-edge methods to intervene with speech, language, and hearing difficulties.

The Department is dedicated to the creation and transmission of knowledge about human communication. The Department promotes original research, effective teaching, and meaningful public service in the discipline and expects that all faculty members be actively engaged in all three areas of the Department's mission. The Department values distinguished disciplinary and

interdisciplinary research and teaching, and publicly engaged scholarship that disseminates knowledge about speech, language, and hearing to diverse audiences.

III. Annual Reviews of Probationary Faculty

The tenured faculty of the Department of Speech-Language-Hearing Sciences 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.

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

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

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

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

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

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

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

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

V. Departmental Criteria for Tenure – Research

To receive indefinite tenure, a faculty member will be expected to have demonstrated professional distinction in scholarly research and to show evidence of continued academic distinction.¹

A "distinguished" record is characterized principally by its excellence. To achieve this, a candidate must have produced a body of research that is openly available, scholarly, creative, and of high quality and significance. The candidate must also be recognized and visible within his or her domain of research. Research is not limited to traditional publication but also encompasses activities that lead to the public availability of products, practices, technologies, and ideas that have significance to society. Quality of research is more important than quantity.

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 and productivity, visibility, and promise in research achievement.

(A) Evidence of excellent quality and productivity in research is provided by the candidate's programmatic research, publication, and internal and external grant application 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 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. 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.
2. Peer-reviewed publications or works printed by publishers known for their careful review of manuscripts or articles issued in refereed journals will be given more weight than other publications. Publications by eminent presses and those appearing in journals, series, or volumes that have stringent peer review and major disciplinary significance generally receive the most weight. Work under review may be considered; this category receives less weight than published or completed work. A written work is considered to be published when the final revised manuscript has been accepted by the publisher (i.e., the work is "in press").
3. Efforts to secure external and internal funding for research and other scholarly projects are considered an important aspect of quality and productivity.
4. Translations, reprints, and citations or reviews of a candidate's work may provide evidence of the visibility, importance, or influence of the work.
5. For all multi-authored or collaborative works, the file must specifically describe the candidate's contribution.
6. While quality is more important than quantity, the candidate must present a substantial body of achievement. Ordinarily, this would include a series of peer-reviewed publications that are recognized internally and externally as being a systematic, visible, and substantive contribution to the literature. When the work is collaborative, the candidate must demonstrate a leadership role on several publications (e.g., by being first author on publications).

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

1. Presentations at scholarly conferences or symposia/workshops (especially refereed or invited presentations).
2. Organization of major scholarly conferences or symposia/workshops.
3. Appointment as editor of national or international professional journals and active participation on editorial boards as a reviewer or member of the board
4. National or international awards and honors.

(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

It is expected of every faculty member in the Department of Speech-Language-Hearing Sciences 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.

"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. Department review of courses taught. Particularly important are those courses which were developed by the candidate. Such review will chiefly include review of course syllabi, statements of goals and objectives, and methods employed, as well as assignments and examinations prepared for the course.
2. Department review of any contributions made to the curriculum and advising of the Department. This mainly includes an overview of development of courses, course sequences, new areas of instruction, major/minor sequences, substantive refinements of courses, including uses of new technologies, etc. Such 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. The department 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).
4. Student rating of teaching. Student rating forms from all courses taught during the probationary period must be submitted. The primary method of student rating is through

course rating forms. Additionally, evaluations may be obtained from students once they have graduated.

5. Development and review of instructional material, including but not limited to computer software, compilations of readings, course guides, and publication of textbooks. Such contributions may be made individually by the candidate or result from participation in committees or workshops devoted to curriculum development and assessment.
6. Receipt of teaching awards and other formal recognitions of teaching excellence.
7. 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.
8. Review of the quality of and contribution to undergraduate student advising; for example, evidence concerning Honors theses and contracts, Directed Study, Directed Research, and Undergraduate Research Opportunities.
9. Review of the quality and effectiveness of the candidate's contributions to the mentoring or supervising of graduate students in their scholarship and teaching. For example, evidence of advising at the M.A., Au.D, and/or Ph.D. level, thesis and dissertation supervision, Au.D. capstone project supervision, Ph.D. oral and written preliminary exam participation, and professional development and job placement activities.
10. 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.

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

Candidates for indefinite tenure must meet the standard of being citizens who actively participate in advancing the interests of the department, 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. All faculty members are expected to engage in service activities, but limited institutional service should be expected of probationary faculty.

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

(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, referee, or board member for professional publications
4. Reviewer for grant or fellowship applications
5. Consulting services to professional organizations and government agencies
6. Reviewer for tenure and promotion cases at other universities or colleges
7. 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 PreK-12 schools and consultancies with non-profit organizations
2. Providing expert testimony and 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. 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 the Regents Policy on *Faculty Tenure*).

Documentation

The forms of evidence used to justify promotion to professor are the same as those used to justify promotion to associate professor in the areas of research, teaching, and service. A higher level of achievement in all three areas, as measured by the distinction, significance, and impact of the research, teaching, and service, is required. Regular, high-quality teaching and advising of M.A., Au.D., and Ph.D. students, in addition to undergraduate instruction and advising, is expected, and service contributions to the department, college, University, and profession should be substantial and significant.

X. Review of Tenured Faculty Performance

Introductory Statement

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

Goals and Expectations for Tenured Faculty

In accordance with Section 7a.1 of the Regents Policy on *Faculty Tenure*, the Department of Speech-Language-Hearing Sciences has established the following goals and expectations for

tenured faculty. The goals and expectations for tenured faculty in the Department are similar to the criteria for tenure and promotion to associate professor, and for promotion to professor.

Tenured faculty members in the Department of Speech-Language-Hearing Sciences 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. Satisfactory scholarship is understood as involvement in an explicit research program, periodic publication of peer-reviewed works, and presentations at scholarly conferences.

Tenured faculty members are also expected to remain effective teachers and to be actively engaged in the communication of knowledge and the supervision, mentoring, or advising of graduate and undergraduate students. Tenured faculty will meet standard workload expectations and will offer well-constructed and clearly presented courses based on current scholarship. They will be accessible to graduate and undergraduate students and will advise M.A., Au.D., or Ph.D. students on a regular basis.

Tenured faculty members are also expected to participate actively in advancing the interests of the Department, the College of Liberal Arts, and the University of Minnesota for the benefit of the institution, the profession, and the community. Tenured faculty will engage regularly in professional service at a national or regional level through activities such as editorial service for professional journals, conference planning, and service in professional associations. 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.

Annual Post-Tenure Review Process

The Department of Speech-Language-Hearing Sciences expects that its tenured faculty will be regularly active in all three domains: research, teaching, and service. In accordance with Section 7a.2 of the Regents Policy on *Faculty Tenure*, a faculty member who falls substantially below the goals and expectations in one or more of those domains for two consecutive years as determined by the department chair and those tenured members of the elected merit review committee will be informed in writing of her/his performance. The faculty member will be informed of steps that should be taken to improve in order to meet the Department's goals and expectations in all three domains within a specified period of time (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*, a tenured faculty member in the Department of Speech-Language-Hearing Sciences who continues to be substantially below the goals and expectations of the Department, as judged by both the chair and the elected faculty committee of tenured members, and who has not made sufficient improvement at the end of the time period described in the previous paragraph may undergo a special peer review pursuant to a joint request to the dean by the chair of the Department and the elected peer merit review committee.

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.

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.