

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

**School of Statistics
College of Liberal Arts**

*Approved by the Faculty of the School of Statistics on 15 September 2009
Approved by the Senior Vice President for Academic Affairs and Provost on December 30,
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I. **Introductory Statement**

This document is intended to specify the indices and standards to be used by the School of Statistics to determine whether candidates meet the University of Minnesota's general criteria for indefinite tenure as they are set out in subsection 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 subsection 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 as required by subsection 7a of the Regents Policy on *Faculty Tenure*.

II. **Mission Statement**

The mission of the School of Statistics comprises four objectives: education through effective teaching; the pursuit and dissemination of knowledge through original and creative research; education and service provided to University students and faculty through expert statistical consulting; and the advancement and application of scientific and technical knowledge and expertise through community and professional services.

III. **Annual Reviews of Probationary Faculty**

The tenured faculty of the School of Statistics 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 Director of the School, the Dean of CLA, and the Senior Vice President for Academic Affairs and Provost.

In accordance with subsection 5.5 of *Faculty Tenure* the probationary period may be extended by one year at a time at the notification of the faculty member for childbirth/adoption, or at the request of the faculty member for 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 subsection 5.5 may not be a factor in the evaluation.

IV. University Standard – General Criteria for Tenure

Regents Policy on *Faculty Tenure*, Subsection 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 [FN 2]. This determination is reached through a qualitative evaluation of the candidate's record of scholarly research or other creative work, teaching, and service [FN 3]. The relative importance of these criteria may vary in different academic units, but each of the criteria must be considered in every decision [FN 4]. 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 Subsection 7.11

[FN 2] "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.

[FN 3] 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.

[FN 4] 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

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. (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.)

V a) Research

A "distinguished" record is prominent and conspicuous by its excellence. To achieve this, a candidate must have produced a body of published research that shows high quality, high significance, and sufficient productivity; the candidate must also be visible within the field of statistics. Research is not limited to traditional publication but also encompasses activities that lead to the public availability of products, practices, technologies, and ideas that have significance to society. Quality of research is more important than quantity.

Documentation

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

(A) Evidence of excellence in research is provided by the candidate's research and publication record. This record is assessed both internally, by the department and the college, and externally, by recognized experts from outside the University, to determine whether it is of high quality, significance, and productivity. (See the *Procedures for Reviewing Candidates for*

Tenure and/or Promotion: Tenure-Track and Tenured Faculty for details about external reviewers.) The following points guide the assessment of the candidate's record:

1. The quality of a candidate's research is the primary criterion.
2. Typically, six to eight research articles are required. The articles must appear in quality refereed journals. Fewer truly exceptional research articles would also be sufficient.
3. Research must be published, which includes both traditional and electronic publication. Scholarly publication can take many forms including research articles and books, book chapters, reviews, published lectures, and integrative text books that advance the discipline.
4. Peer-reviewed publications will be given more weight than other publications. Publications appearing in journals that have stringent peer review and major disciplinary significance generally receive the most weight.
5. A written work is considered to be published when the final revised manuscript has been accepted by the publisher.
6. Interdisciplinary research is an important part of the research program of some faculty. The publication of research in quality, non-statistical, professional journals can be weighted appropriately.
7. The writing and dissemination of software is an integral part of their research program for some faculty. For consideration in promotion and tenure, software projects must be fully documented.
8. Work in progress or under review may be considered; this category receives less weight than published work.
9. For all multi-authored works, the file must specifically describe the candidate's contribution.

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

1. Election to prestigious national and international organizations that recognize excellence in the discipline.
2. Research awards and honors granted by professional and scholarly societies, government agencies, private foundations, and industry.
3. Presentations at scholarly conferences (especially refereed or invited presentations).
4. Service as editor or associate editor of a national or international professional journal.
5. Organization of scholarly conferences.
6. Success in external and internal grants and fellowships.
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 Ph.D.
2. Sustained and continuous growth in significant research.

V b) Departmental Criteria for Tenure – Teaching

It is expected of every faculty member in the School of Statistics 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. A review of courses taught. Particularly important are those courses which 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. The Director and Personnel Committee, in consultation with the candidate, will select at least two faculty members to attend lectures taught by the candidate and to give a written review of the candidate's classroom performance. When possible, there should be one undergraduate and one graduate course.
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. The student rating of teaching forms from all courses taught during the probationary period must be submitted along with the scores of other faculty members teaching the same courses.
6. Review of the quality of and contribution to undergraduate student advising and the direction of Independent Study projects, Senior Projects, and honors theses.
7. Review of the quality and effectiveness of the candidate's contributions to the mentoring or supervising of graduate students in their scholarship and teaching. For example,

evidence concerning advising at the Master's and Ph.D. level, Plan B paper and dissertation supervision, Ph.D. oral and written preliminary exam participation, and professional development and job placement activities.

8. Receipt of teaching awards and other formal recognitions of teaching excellence.
9. Any other contribution to the teaching mission of the Department, such as service as Director of Undergraduate Studies, Director of Graduate Studies, or as leader of teaching and professional development workshops within the program, University, profession, or community.
10. Receipt of grants for curricular development or for the preparation of instructional units. Grants alone, however, do not suffice; the successful completion of the project shall also be considered.
11. 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.

V c) Departmental Criteria for Tenure – Service

"Service" means that faculty as University citizens actively participate in advancing the interests of the school, the college and University for the benefit of the institution, the profession and the community.

Service to the school, the college, the University and the profession is an integral component of a faculty member's professional obligations. A faculty member's participation in the governance of the school, 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; however, it is not, by itself, a sufficient basis for granting tenure.

Documentation

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

1. Providing expert statistical consulting for the university community and developing ongoing research partnerships with other disciplines.
2. Participation in the administration and governance of the institution
3. Participation in school, college, and university committees
4. Administrative appointments in the school, college, and the university

Statistical consulting with University researchers, both students and faculty, is part of the mission of the School of Statistics. This consulting often contains substantial research components in addition to its service aspects. Excellence in research through consulting shall be considered when evaluating the candidate. Evidence for this may include co-authorship of

papers, acknowledgments in published works and theses, funded research, and letters from clients.

(B) Examples of service to the profession include but are not limited to:

1. Editor or associate editor of a refereed professional journal
2. Officer or board member in a professional society
3. Service on a national or international professional committee
4. Organizer of a symposium or conference
5. Member of a governmental or private advisory committee

Reviewing, including the refereeing of technical or scientific papers for journal publication or conference presentation, reviewing of proposals for funding agencies, reviewing promotion and tenure cases at other universities, and reviewing academic programs at other universities are recognized as services related to the profession but are not weighted as heavily as those services listed above.

(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. Service on a governmental or private advisory committee

VI. University Standard – Criteria for Promotion to Professor

Regents Policy on *Faculty Tenure*, Subsection 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 [FN 7]. This determination is reached through a qualitative evaluation of the candidate's record of scholarly research or other creative work, teaching, and service [FN 8]. 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 Subsection 9.2

[FN 7] "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.

[FN 8] 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. Promotion to the rank of Professor will not be granted solely on the basis of length of service to the University or to academia. All associate professors are strongly encouraged to work toward promotion to the rank of professor (See subsection 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.S. 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* (subsection 7a), as well as the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty*.

Goals and Expectations for Tenured Faculty

Expectations Regarding Research and Publication

Research and publication are vital components of the responsibilities of tenured faculty. It is expected that tenured faculty will become and remain leading and influential scholars in their

fields of specialization. Satisfactory scholarship is understood as involvement in an explicit research program, periodic publication of peer-reviewed works, presentations at scholarly conferences, and success at securing research funding within and outside the University.

Expectations Regarding Teaching

Tenured faculty will offer courses at both the undergraduate and graduate levels at workload levels established by the College. Faculty members will also be accessible to students in their courses for consultation at regularly scheduled office hours. At the graduate level, faculty will guide students and communicate the current state of knowledge in their fields of specialization. Faculty members will normally offer graduate courses as required or justified by the department program and student interest. They will also advise M.S. and Ph.D. students and direct Ph.D. students in dissertation research. Documentation of effectiveness in teaching and advising will be based on the criteria stated above under criteria for tenure.

Expectations Regarding Service

Tenured faculty will remain actively involved in helping the School to fulfill its mission. They are expected to participate in scholarly meetings with reasonable frequency and engage in such activities as editorial service for professional journals, conference planning, and service in professional associations. Professional service also will include the evaluation of manuscripts submitted to scholarly journals and presses; assessment of applications to national grants agencies; and involvement in the evaluation of scholarship and standing of individuals for tenure and promotion considerations at other institutions.

Tenured faculty are also expected to contribute regularly to the governance and administration of the department, college, and University. They will attend and participate in regular and special department faculty meetings and especially those dealing with tenure, promotion, and the appointment and retention of faculty; serve effectively on various committees as elected or appointed; and agree to accept administrative assignments. In all of these endeavors the quality of involvement is paramount.

Annual Post-Tenure Review Process

The School of Statistics expects that its tenured faculty will be regularly active in all three domains: research, teaching, and service. In accordance with subsection 7a.2 of the Regents Policy on *Faculty Tenure*, a faculty member who in the opinion of the Director and the Personnel Committee, which consists of elected tenured faculty, in their annual reviews, falls substantially below the goals and expectations in one or more of those domains for two consecutive years will be informed in writing by them of her/his performance and of steps that should be taken to improve in order to meet the School goals and expectations in all three domains within a specified period of time (at least two years from the date of the letter to the faculty member, which is co-signed by the head of the school and the chair of the Personnel Committee).

In accordance with subsection 7a.3 of the Regents Policy on *Faculty Tenure*, a tenured faculty member in the School of Statistics who continues to be substantially below the goals and expectations of the School 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 director of the School and the elected Personnel 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 subsection 7a.c.

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 senior vice president for academic affairs 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 senior vice president for academic affairs 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 senior vice president for academic affairs 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 senior vice president for academic affairs 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.

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); (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 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.