

Department of Earth & Environmental Sciences College of Science & Engineering

7.12 Criteria for promotion and tenure

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previous versions

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Approved November 17, 2021: No changes to criteria for promotion and/or tenure; expanded list of examples of evidence; inclusive language; other minor changes.

I. Introduction

This document describes with more specificity the indices and standards that will be used to evaluate whether candidates meet the general criteria in Sections 7.11 and 9.2 of the Regents Policy on Faculty *Tenure* for the following personnel evaluations:

- A. Annual performance appraisal of progress toward achieving tenure.
- B. Recommendation for awarding indefinite tenure according to the Regents Policy on *Faculty Tenure* (University of Minnesota, June 2007; hereafter cited as *Faculty Tenure*), Section 7.11. General Criteria.
- C. Recommendation for promotion to Associate Professor and Full Professor according to the Regents Policy on *Faculty Tenure*, Section 9.2 Criteria for Promotion to Professor.
- D. Annual performance appraisal for post-tenure review according to Section 7a.1 and 7a.2 of *Faculty Tenure*.”

In addition, this document is consistent with the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty*, hereafter referred to as the *Procedures*.

II. Department of Earth & Environmental Sciences Mission Statement

The Department of Earth & Environmental Sciences addresses vital societal problems from regional to global levels and conducts curiosity-driven research that forms the foundation of 21st century discoveries and innovation in our field. Our research focus is integrated with teaching and

service activities, creating strengths in our core mission. Our department is committed to enhancing diversity, inclusion, and equity through our teaching, research and service activities. Striving to create a diverse, equitable, and inclusive professional and academic community is a core value of the department and extends also to impacting the broader community.

III. Annual Appraisals of Probationary Faculty

Probationary faculty will be reviewed annually, and progress will be evaluated according to Section 7.11 in *Faculty Tenure*, the *Procedures*, and the criteria described here (Section IV).

All probationary faculty members will have co-mentors who will provide guidance and advice on teaching, research, advising, and funding opportunities, as well as on the appropriate extent and context of service and DEI activities. Two co-mentors will be selected through discussion between the department head and the probationary faculty member and with the agreement of the proposed mentors. One or both mentors can be changed upon agreement of the department head and the probationary faculty member. If a mentor is on leave and unable to continue mentoring responsibilities for a semester or more, an alternate will be appointed. The mentors and the probationary faculty member will meet at least twice a year to discuss the probationary faculty member's progress in research, teaching, and service and to reflect on how DEI activities have been integrated into these other components.

Tenure decisions may be made in any year of the probationary period. A candidate must be considered in a formal tenure review in the last year of the probationary period.

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 and upon approval by the executive vice president and provost for 1) the birth, adoption, or foster placement of a child, 2) for caregiver responsibilities, or 3) for extended, serious personal illness or injury. 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 cannot be a factor in the evaluation.

The department may recommend termination of a candidate's appointment at any time in accordance with the *Procedures*. Probationary faculty members may not, however, be given notice of termination of their appointment during an extension year unless circumstances correspond to those described in *Faculty Tenure*.

Each year in conjunction with preparation of President's Form 12, the progress of each probationary faculty member will be reviewed by the department head based on the probationary faculty member's annual written report on their teaching, research, service/outreach, and – in the context of research, teaching, and service/outreach – activities that promote diversity, equity, inclusion, and related aims. Documentation for the annual review will consist of a current curriculum vitae and a written report that contains an annual activity report with information such as a list of publications, grants and grant proposals, conference abstracts, invited talks, courses taught (with enrollment and level of responsibility in co-taught courses indicated), service or outreach activities, activities related to community-engaged scholarship, and efforts related to

improving diversity, equity, or inclusion (DEI). DEI activities may be integrated with research, teaching, and service, and will also be highlighted separately in review materials. Review materials will also include student and peer evaluations of teaching. Part of the review process will include a meeting between the department head and the probationary faculty member. One or both mentors may participate in this discussion, at the request of the probationary faculty member or the department head.

The department head will make the probationary faculty member's current curriculum vitae and annual report available to the tenured faculty. The progress of probationary faculty members toward tenure is discussed by the tenured faculty at a meeting in the spring, including discussion of the text of the President's Form 12. At this meeting, the tenured faculty vote on reappointment and the vote is recorded in the Form 12. Absentee votes are allowed, but all tenured faculty are expected to participate in the discussion, including commenting on the text of the Form 12.

If tenured faculty members recommend termination, then a negative vote from 50% or more of the entire tenured faculty is required to recommend termination of the appointment. This information will be included in the department head's comments in the Form 12.

The probationary faculty member reviews and signs the President's Form 12.

IV. Conferral of Indefinite Tenure

Section 7.11 of *Faculty Tenure* specifies the criteria for tenure, cited below verbatim:

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 [2]. This determination is reached through a qualitative evaluation of the candidate's record of scholarly research or other creative work, teaching, and service [3]. The relative importance of these criteria may vary in different academic units, but each of the criteria must be considered in every decision [4]. Demonstrated scholarly or other creative achievement and teaching effectiveness must be given primary emphasis; service alone cannot qualify the candidate for tenure. 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 the candidate's achieving promotion to professor.

[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.

[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.

[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.

To be awarded indefinite tenure in the Department of Earth & Environmental Sciences, a faculty member must demonstrate effectiveness in teaching and must establish a record of excellence and creativity in scholarly research and its dissemination. These are the primary criteria, and the fulfillment of both is a minimum requirement for the awarding of indefinite tenure. Extraordinary distinction in teaching alone or in research alone is not sufficient for the granting of indefinite tenure. In the Department of Earth & Environmental Sciences, teaching and research are valued equally in the tenure decision.

The determination that a distinguished record of achievement has been achieved is reached through a qualitative evaluation of the candidate's record of scholarly research, teaching, and professional and/or institutional service. Scholarly achievement and teaching effectiveness "must be given primary emphasis; service alone cannot qualify the candidate for tenure". Nevertheless, all faculty members are expected to engage in service or outreach activities, although only modest institutional service is expected of probationary faculty.

A faculty member may choose to participate in service to the profession and in other governance and service activities. As noted, these contributions are secondary to the teaching and research components in evaluations leading to decisions related to the granting of tenure. An outstanding record in the service component alone is not, by itself, sufficient to form the basis for a recommendation to indefinite tenure. Community engagement, international activities and initiatives, technology transfer, and other special kinds of professional activity by the candidate will be considered.

The department expects all faculty to integrate efforts to enhance diversity, equity, and inclusion (DEI) in their research, teaching, and service. Although involvement in DEI activities is an important aspect of excellence in research and teaching, exceptional commitment to DEI is not, by itself, sufficient to form the basis for a recommendation to indefinite tenure.

When considering the record of faculty who have extended their probationary period (Section 5.5 of *Faculty Tenure*), the criteria for promotion and tenure 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 tenure decision. For example, a record of six years post-hiring with a one-year extension must be considered in the same way as a record of five years post-hiring with no extension.

According to Section 7.11: 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.

Although teaching, research, and service activities are considered separately in the following sections, there is much overlap between and among these aspects of faculty work. Additional integrated themes to teaching, research, and service include activities centered on diversity, equity, and inclusion and community-engaged scholarship.

A. Teaching

Effectiveness in teaching is assessed from the candidate's contributions to the overall teaching mission of the university, including, where appropriate, classroom, laboratory and individualized instruction at both undergraduate and graduate levels, the supervising of graduate students, and the advising of postdoctoral personnel.

Examples of factors that may be used in the evaluation of effectiveness in teaching at the undergraduate level include, but are not limited to, the following:

- outcome of evaluations written by students; where quantitative course evaluations are used, performance is expected to be within a satisfactory range. In the Department of Earth & Environmental Sciences, teaching may include large service courses for non-science majors, smaller classes for majors and/or non-majors, seminars (for example, for first year students or for majors), and courses involving outdoor education experiences. Student evaluations from these different types of classes can show considerable variation. Therefore, department norms for these classes will also be used for comparison, considering as much as possible any factors that might bias results.
- results of written evaluations by peers based on classroom visits and review of course materials; interdisciplinary classes may also be evaluated by representatives from other fields.

- development of new courses and/or laboratory exercises or field experiences for a course; major course redesign; other curriculum development work.
- supervision of undergraduate research projects.
- advising of undergraduate and professional student organizations.
- development of instructional materials.
- publication of textbooks.
- receipt of local and national awards for teaching.
- participation in a teaching improvement program or consultation with education professionals for the purpose of teaching improvement, and subsequent demonstration of upward trajectory in teaching evaluations by students or other methods of evaluation of teaching effectiveness (e.g., peer evaluation).
- efforts related to DEI in the context of teaching, such as participation in training and subsequent implementation of principles of inclusive teaching.
- presentation of results or ideas related to DEI-focused research or teaching at a conference or in a peer-reviewed publication.
- activities to increase the accessibility of the Earth and environmental sciences, including field experiences.
- activities related to supporting or improving student mental health at the undergraduate level.
- support, guidance, and mentoring of students.

At the graduate level, the primary consideration in establishing teaching effectiveness is expertise in the teaching of advanced courses, in the conducting of graduate seminars, and in the supervising of graduate students at the masters and doctoral levels. Other factors that may be taken into consideration at the graduate level are:

- outcome of evaluations by students in graduate courses.
- results of written evaluations by peers based upon classroom and/or seminar visits.
- development of new courses or the laboratory and/or field portion of a course.
- mentoring of graduate students toward completion of masters and doctoral degrees in a timely manner.
- efforts related to DEI in the context of mentoring, such as learning about and implementing strategies for effective and inclusive advising.
- activities related to supporting or improving student mental health at the graduate level.
- support, guidance, and mentoring of students.

B. Research

The quality of a candidate's original research and the impact of the work within the candidate's professional discipline are the primary criteria by which professional distinction in research is established. Examples of factors upon which an analysis of the research accomplishments of the candidate may include, but are not limited to, the following:

- for all candidates, written evaluations of the candidate's research activities and of the candidate's record of peer-reviewed publications. These evaluations are requested from persons who are generally recognized as leaders in the candidate's research area. An effort

should be made to obtain at least eight letters of evaluation. The reviewers may include persons within the University but must include at least six evaluations from outside the University, some of whom should be of international stature. At least half of the reviewers, and no fewer than four, must not have close relationships with the candidate. The candidate will be asked to suggest the names of reviewers to the department head in consultation with their mentors. The *Procedures* indicate that the department should seek appraisals both from persons suggested by the candidate and from other recognized scholars in the field; the latter will be selected by the department head in consultation with the departmental promotion and tenure committee and other tenured faculty. About half of the suggested reviewers should come from the candidate and half from the department.

- for all candidates, evaluations of the candidate's peer-reviewed publications. These evaluations are an integral part of the documentation upon which the decision on the quality of the candidate's research is based but are not the sole basis for that decision.
- for all candidates, participation in professional conferences, symposia, meetings, and special lectures, especially those for which participation was by invitation.
- for all candidates, establishment and/or maintenance of research facilities appropriate to the candidate's discipline and approach.
- for all candidates, formation and effective mentoring of an active research workgroup that may include undergraduate and graduate students, postdoctoral researchers, and technical staff.
- for candidates engaged in DEI activities associated with research, evidence of activities such as training in and implementation of strategies for inclusive research practices.
- for candidates with a strong interdisciplinary component in their research, letters of evaluation from faculty in the related unit(s) and from some external reviewers whose research also crosses similar interdisciplinary boundaries.
- for candidates engaged in partnerships with the community, resulting in scholarship deriving from teaching, discovery, integration, application, or engagement (i.e. community-engaged scholarship). Letters of evaluation from the UMN Review Committee on Community-Engaged Scholarship or similarly-engaged scholars are encouraged as one possible mode of demonstrating engagement in this area.
- presentation of results or ideas related to DEI-focused research at a conference or in a peer-reviewed publication.
- for candidates engaged in research on DEI in the geosciences and/or related fields, letters of evaluation from scholars and other experts who are knowledgeable about this work and its impact; depending on the nature of the DEI activities in relation to scholarship, these letters may be included with or in addition to the external letters that are focused on evaluation of research.
- for candidates involved in large collaborative research efforts, statements from the candidate, from senior members of the research team, and from other reviewers on the candidate's relative contribution to the work.

In evaluating the candidate's research contributions through the various avenues of publication and presentation, the objectives are to establish that the work is of high quality, that it is a scholarly and creative contribution to the candidate's professional discipline(s), and that it is a measure of the candidate's potential to make continuing contributions in the Earth sciences, broadly defined.

Candidates should make clear in their documents (curriculum vitae, statements) what their contributions to multi-authored publications has been so that their role can be evaluated.

Other qualifications that the candidate may have acquired and that may be used to establish the candidate's research ability include, but are not limited to, the following examples:

- election to prestigious national organizations that recognize excellence in a discipline;
- awards and honors for research granted by professional societies, government agencies, and industry.
- demonstration of capability of obtaining external funding or potential for funding research activities and research group personnel in the future, as one measure of the research skills of the candidate.
- obtainment of patents, inventions, technology transfer, and other such developments of a significant scientific or engineering nature.
- production and dissemination of open-source products such as computer code, hardware design, and advances in laboratory methods.
- publication of scholarly review articles and research monographs.

C. Service / Outreach

Service to the profession and/or outreach are integral components of a faculty member's professional obligations. They enhance a faculty member's impact in their field and broader community and bring recognition to the department and the University. By itself, however, service to the profession (including outreach) is not a sufficient basis for the granting of tenure in the Department of Earth & Environmental Sciences.

Examples of service contributions to the profession include, but are not limited to:

- editor or associate editor of a refereed scientific or technical journal.
- officer in a national or international scientific or technical society.
- member of a national or international scientific or technical committee.
- member of a governmental or private advisory committee.
- organizer or member of the organizing committee for a national or international symposium or conference.
- reviewer of technical and scientific papers for peer-reviewed journals and conference presentations.
- reviewer of proposals for funding agencies.
- participant in public outreach and education.
- participant in DEI efforts; including activities that help broaden participation in Earth and environmental sciences (or science, technology, engineering, math fields more generally), including through outreach activities; participation in training sessions, workshops, consultations, or any other organized activities centered on DEI, such as participation in events sponsored by units of the University of Minnesota, professional organizations, or funding agencies; service on a departmental, collegiate, or university committee that is entirely or partly focused on DEI-related activities; or involvement in DEI-focused work

for a professional society or other organization in which faculty serve in a professional capacity (that is, not as a private citizen).

Participation in the governance of the institution and other services to the University and the Department of Earth & Environmental Sciences is expected, particularly at the department level. Examples of such services include, but are not limited to, active participation in departmental, collegiate, and University committees. Participation in public outreach events and public education is also encouraged and valued. These activities may be included as additional support for a tenure recommendation.

V. Promotion

The following paragraphs describe the criteria for promotion to tenured ranks from within the College of Science and Engineering. The same criteria and standards are applied for appointments from outside.

A. To Associate Professor (with tenure) from Assistant Professor (probationary)

Promotion to the rank of Associate Professor from the rank of probationary Assistant Professor in the Department of Earth & Environmental Sciences is always accompanied by the granting of tenure. Thus, a candidate for promotion to Associate Professor must have established a professional record that meets the requirements for effectiveness in teaching and professional distinction in research as set forth in Section IV. Service and DEI contributions are also included in the evaluation of the candidate but cannot be used in place of either the teaching or the research criteria. Recommendation for promotion to Associate Professor (with tenure) from Assistant Professor (probationary) requires an exceptional majority (2/3) vote of the tenured faculty members.

B. To Associate Professor (with tenure) from Associate Professor (probationary)

For the granting of indefinite tenure to an Associate Professor on a probationary appointment, the candidate must meet all the requirements for effectiveness in teaching and professional distinction in research as set forth in Section IV. Recommendation for promotion to Associate Professor (with tenure) from Associate Professor (probationary) requires an exceptional majority (2/3) vote of the tenured faculty members.

C. To Professor (with tenure) from Professor (probationary)

For the granting of indefinite tenure to a Professor on a probationary appointment, the candidate must meet all the requirements for effectiveness in teaching and professional distinction in research as set forth in Section V(D). Recommendation for promotion to Professor (with tenure) from Professor (probationary) requires an exceptional majority (2/3) vote of the tenured faculty members.

D. To Professor from Associate Professor

Section 9.2 of *Faculty Tenure* specifies the criteria for promotion to Professor:

Promotion to the rank of Professor will be based on 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. In the Department of Earth & Environmental Sciences, this determination is reached through a qualitative evaluation of the candidate's record of scholarly research, teaching, service, and DEI activities [see Section IV for definitions]. Achievements in each of these must be considered in every decision. Interdisciplinary work, community-engaged scholarship, international activities and initiatives, attention to questions of diversity, equity, and inclusion, technology transfer, and other special kinds of professional activity by the candidate are also valued and will be considered, although the primary emphasis must be on demonstrated scholarly or other creative achievement and on teaching effectiveness. Service alone cannot qualify the candidate for promotion.

The persons responsible for this determination are the full professors who are eligible to vote in the department. 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 for the granting of indefinite tenure. Note that not being promoted to the rank of professor will not in itself result in post-tenure review of a tenured associate professor.

In the Department of Earth & Environmental Sciences, candidates for promotion to Professor are expected to have a record of accomplishment that substantially exceeds that achieved for promotion to Associate Professor. All Associate Professors are expected to work to achieve promotion to Professor.

After a faculty member is promoted to Associate Professor with tenure, at least one Professor will be selected as a mentor through discussion between the department head and the Associate Professor and with agreement of the proposed mentor. The mentor can be changed upon agreement of the department head and the Associate Professor. The mentor will advise the Associate Professor on achieving greater professional visibility, participating in professional meetings and on committees, and writing successful grant applications. It is the responsibility of the department head to advise the Associate Professors on their progress as part of the annual departmental performance review process and every four years as part of a more extensive review. The mentor and the Associate Professor will meet at least once each year to discuss the Associate Professor's progress in research, teaching, and service.

A candidate for promotion to the rank of Professor must have achieved a high level of professional distinction through research contributions to the candidate's discipline that are distinguished by substance, quality and creativity, as well as through consistently high standards in teaching. Service to the profession, participation in the governance of the institution, and other service to the department, college, and University are expected for candidates for promotion to Professor, but they are not in themselves bases for promotion to the rank of Professor. DEI activities are

expected and valued as detailed throughout this document but are not in themselves sufficient for promotion to Professor.

Promotion to the rank of Professor will not be granted solely based on length of service to the academic unit. Community-engaged scholarship is considered a facet of research, and may also include aspects of teaching, mentoring, and service.

For promotion to Professor, the candidate is expected to satisfy the criteria specified in Section IV, with emphasis on

- demonstrated high quality teaching.
- high quality research that indicates that the candidate is among the leaders in the field, as documented by letters from acknowledged national and international leaders and contributors to the knowledge base in the field.
- continued demonstration of capability of obtaining external funding or potential for funding research activities and research group personnel in the future.
- mentoring of graduate students to completion of masters and doctoral degrees in a timely manner, ideally leading to post-graduation employment.
- effective advising of postdoctoral scholars if the individual has supervised postdoctoral scientists.
- demonstrated engagement with DEI activities.

Examples of other factors that may be used to establish a candidate's professional reputation include, but are not limited to, the following:

- invitations to national and international symposia and conferences, or invitations to give talks at other research institutions.
- active participation in professional societies, such as serving as an officer in the society or one of its committees.
- general professional contributions such as editorships or other activities that enhance the professional stature of the candidate.

The methods of assessment of the performance of a candidate being considered for promotion to the rank of Professor are the same as those employed in the granting of tenure. Recommendation for promotion to Professor from Associate Professor requires an exceptional majority, defined as a minimum of two-thirds ($2/3$) of the vote, from the tenured Professors in the department.

VI. Post-Tenure Review of Faculty Performance

The goals and expectations for tenured faculty parallel those used in granting promotion, taking into account the different stages of professional development over the course of a career. The Department of Earth & Environmental Sciences expects its faculty to contribute at a high level to the department's mission and to make significant, career-long contributions in teaching, research, and service. However, the distribution of effort among these three areas of academic activity may vary by individual and may vary over time in a faculty member's career. For example, those who hold administrative positions within the department (department head, director of graduate studies,

director of undergraduate studies) have a higher proportion of service during their term of appointment to these positions. The department therefore recognizes that flexibility in the distribution of effort among research, teaching, and service is necessary to account for changing circumstances and responsibilities and to best utilize the talents of its faculty members.

Tenured faculty in the Department of Earth & Environmental Sciences are expected to continue and enhance their professional activities as outlined in section IV: that is, foster an active research program, teach courses as required by the department in a highly effective manner, advise students, and serve the goals of the department, the college, and the university. The latter include participation in activities related to improving diversity, equity, and inclusion. These responsibilities are outlined in the departmental Workload Statement, the key points of which are listed below. Faculty are expected to engage in the following:

Teaching: It is expected that all faculty will teach 2-3 semester courses annually. Teaching may involve undergraduate and graduate courses, as well as graduate seminars.

Research: (a) It is expected that all faculty will conduct scholarly research and will regularly publish their research results in leading journals. Publications with University of Minnesota advisees (students and researchers) typically represent significant effort by a faculty advisor, including when the advisees are first author; (b) It is expected that all faculty will seek external funding to the level necessary to maintain a viable research program and permit participation of undergraduate and graduate students in research experiences. Formal advising of students and others is an important aspect of research; all faculty are expected to advise graduate and/or undergraduate students in research. Faculty may also mentor postdoctoral scholars and other researchers as a valuable activity.

Service/Outreach: It is expected that all faculty will engage in professional, institutional, and community service. Professional activities might include editorial work for scholarly journals, grant review panels, or other peer review activities. Outreach and community service might include lectures in local schools and potential-majors recruitment activities, as well as interactions with others in the broader community.

DEI: It is expected that all faculty will engage in activities related to enhancing diversity, equity, and/or inclusion (DEI) in the department, college, university, STEM fields, or other unit related to their work as Earth scientists.

Exceptions to expectations for teaching and institutional service are made for approved sabbaticals and other leaves.

According to Section 7a of *Faculty Tenure*, all faculty are reviewed annually as part of the annual merit review process in accordance with University Senate policy. The Executive Review Committee (ERC), consisting of the department head and three elected members, acts as the departmental merit review committee. If there are faculty members who consistently do not meet expectations over the course of several years, the ERC will identify them, and the department head will convey this view to the faculty member in writing, such as in the annual review letter.

If the elected members of the ERC and the department head agree that performance is consistently substantially below the goals and expectations of the department over a period of at least three years, a Post-Tenure Review Committee will be formed, and the faculty member will be notified in writing of this result in a letter written by the department head, in consultation with the committee. The Post-tenure Review Committee (PTRC) will consist of three tenured faculty members and must include the tenured elected members of the ERC. The chair of the PTRC is the most senior elected member of the ERC. Any member of the ERC who is a probationary faculty member will be replaced by a tenured faculty member through a special election of the tenured faculty for the purpose of the PTRC only. If a significant conflict of interest exists, a committee member will excuse themselves, and an elected alternate will substitute.

In the letter informing an individual of the post-tenure review process, the department head will describe the nature of the deficiencies, make suggestions for improvements, and specify a time period in which the faculty member must work to address the identified problems. This time period must be at least one year from the receipt of the letter. The faculty member may respond in writing to the department head and the PTRC at any stage of this process. If, at the end of the stated time period, both the PTRC and the department head determine that performance remains substantially below the goals and expectations of the department, the Dean will be asked to initiate a special review according to the procedures described in section 7a.3 of *Faculty Tenure*.

Distribution of effort substantially different from what is described in the Faculty Workload statement as summarized above should be specifically agreed upon by the faculty member and the department head in a written Memorandum of Understanding (MOU), with input from the PTRC. For example, if the research activities of a tenured faculty member are not deemed to be sufficiently productive, an MOU will outline a different proportion of work, such as increased teaching and/or service. It is expected that a MOU signed by one department head will be honored by subsequent department heads.

The following procedure will be used for post-tenure review:

- The PTRC will meet upon notification that the department head and elected members of the ERC have determined during the annual review process that the performance of a tenured faculty member is substantially substandard with respect to the expectations outlined in the departmental Workload Statement, with due consideration given to flexibility in balance of work components.
- The faculty member will be informed that a post-tenure review process is being initiated, and the PTRC will conduct an independent inquiry. The PTRC may contact individuals both inside and outside the department to obtain additional relevant information.
- After completion of its investigation, the PTRC will vote, by secret ballot, on the statement that “the performance of the faculty member is substantially substandard” in light of the stated faculty workload.
- The PTRC will issue a detailed written report of the investigation and its findings to the department head. The inquiry, discussion within the PTRC, and report writing will be conducted in a timeframe of less than three months.
- If the PTRC agrees with the department head that the performance of the faculty member is substantially substandard, it should endeavor to find a remediation procedure to which

both the faculty member and the department head agree, and which can be expected to produce the necessary improvement in performance within a certain time limit (typically one year). The PTRC findings and remediation procedure will be communicated to the faculty member in a letter signed by the department head and the chair of the PTRC. This letter must specify the performance deficiencies and the assistance available to the faculty member to remedy the identified deficiencies.

- The PTRC and the department head will review the performance at the end of the remediation period. If the PTRC and the department head find that the performance of the faculty member continues to be substantially substandard, the PTRC and department head may jointly request that the Dean initiate a special review as provided in the Faculty Consultative Committee documentation on post-tenure review.

VII. Procedures

The departments of the College of Science & Engineering comply with the procedures as provided by *Faculty Tenure*.

The Department of Earth & Environmental Sciences has a three-member Promotion and Tenure Committee consisting of the elected members of the ERC unless one or more members are untenured, in which case one or more alternates are selected by the department head, in consultation with tenured members of the ERC. Alternates cannot be the candidate's official mentors. The candidate, working with their mentors, the department head, the department administrator, and the Promotion and Tenure Committee, will be responsible for assembling the dossier in accordance with the guidelines provided by the College of Science & Engineering.

Based on their review of the dossier and the letters of recommendation, the departmental Promotion and Tenure Committee will make its recommendations for the tenure decision to a meeting of the tenured faculty in the Department of Earth & Environmental Sciences. All tenured faculty members in the department are expected to have reviewed the candidate's file prior to the meeting and participate in the discussion and vote. After discussion, the faculty will vote. Voting is also allowed using a secure voting system provided by the University. An exceptional majority, defined as a minimum of two-thirds (2/3) of those voting, is required for a positive decision.

Following the meeting, the Promotion and Tenure Committee will summarize the case for or against tenure in a letter that is included in the dossier.

The same procedures and voting standard apply to decisions for promotion to Professor.