

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

**Department of Asian Languages and Literatures
College of Liberal Arts**

*Approved by the Faculty of the Department of Asian Languages and Literatures
on September 30, 2009*

Approved by the Senior Vice President for Academic Affairs and Provost on December 3, 2009

I. Introductory Statement

This document is intended to specify the indices and standards to be used by the Department of Asian Languages and Literatures 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 University of Minnesota 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 Department of Asian Languages and Literatures is dedicated to the creation and transmission of knowledge about the multiple disciplines in which the Asian Languages and Literatures faculty are engaged. The Department promotes original research, creative teaching and advising, and public service in disciplines relevant to Asian Languages and Literatures studies, and expects that all faculty 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 Asian Languages and Literatures studies and their relation to widely diverse audiences.

III. Annual Reviews of Probationary Faculty

The tenured faculty of the Department of Asian Languages and Literatures 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 continuing academic distinction.¹

To achieve a distinguished record, a candidate must have produced a body of research that is openly available, scholarly, creative, and of high quality and significance, and must be recognized and visible within his or her domain of research. Special recognition will also be given to work with a interdisciplinary orientation: work that contributes substantially to more than one discipline (and is recognized as having done so by relevant scholars) or that explores developments over a broad geographic region. Research is not limited to the publication of

¹ Most probationary faculty are also promoted to the rank of associate professor when they receive indefinite tenure. In addition, tenure may be conferred on an associate professor with a probationary appointment.

scholarly works but also includes activities which lead to the public availability of products, practices, and ideas which have a demonstrable significance to society. This includes the production of new technology or instructional materials (e.g., textbooks, translations, audio-visual projects, internet-related projects) for which a significant research component can be demonstrated and which furthers the department's commitment to engaged scholarship and public service. Distinction in research and scholarship will be determined by the consideration of the following:

Relevant Forms of Evidence:

(A) Evidence of excellence in research is provided by the candidate's scholarship, performance, and/or publication record. This record is assessed both internally, by the Department and the College, and externally, by a panel of recognized experts from outside the University, to determine whether it is openly available, scholarly, creative, and of high quality and significance. (See Section 12 of the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty* for details about reviewers. Note that the new procedures require that at least half and no fewer than four external reviewers have no direct interest in the tenure/promotion of the candidate). The following points guide the assessment of the candidate's record:

1. "Openly available" research or artistic practice implies distribution, which includes traditional and electronic publication as well as other media such as audio and video recording.
2. Scholarly publication can take many forms; among these are edited collections and anthologies, translations, original research articles and books, critical editions, multimedia-related projects, book chapters, published lectures, reviews, and integrative text books that advance the discipline and assist in the public dissemination of knowledge.
3. 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.
4. A written work is considered to be published when it satisfies two standards: it is under contract, and in production. The candidate is asked to produce the actual contract or another form of evidence showing the work has been accepted for publication. A book, journal article, or book chapter will be considered in production when a letter from the director or editor is sent and states that the work: a) has gone through all rounds of reviews; b) all corrections/revisions have been completed; c) the fully completed/revised manuscript is in the hands of the press or journal; d) the press or journal has put it on a production schedule.
5. Work under review may be considered; however, unpublished work alone cannot be the sole basis for evaluating distinction in scholarship.
6. Translations, reprints, and citations or reviews of a candidate's work may provide evidence of the visibility, importance, or influence of the work.

7. For all multi-authored or collaborative works, the file must specifically describe the candidate's contribution. It is understood that, in some areas of the discipline, multi-authored works are common.
8. While quality is more important than quantity, the candidate must present a substantial body of achievement. Ordinarily, this would include a book or monograph and articles or shorter works, or an equivalent set of articles and shorter works in the candidate's area of specialization.

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

1. National or international awards and honors.
2. Presentations at scholarly conferences (especially refereed or invited presentations).
3. Service as editor of national or international professional journal.
4. Organization of scholarly conferences
5. Active participation on editorial boards.
6. The individual's success in attracting external and internal research grants and fellowships and her/his ability to complete the project.
7. Invited scholarly presentations.

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

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

VI. Departmental Criteria for Tenure – Teaching

It is expected of every faculty member in the Department of Asian Languages and Literatures 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 is 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:

Relevant Forms of Evidence:

1. Peer review of courses taught. Particularly important are those courses which were developed by the candidate. The chair will appoint a tenured faculty member familiar with the candidate's field of study to review the candidate's course syllabi, statements of goals and objectives, and teaching methods employed, as well as performance assessment methods.
2. A review of any contributions made to the curriculum of the Department (development of courses, course sequences, new areas of instruction, major/minor sequences, substantive refinements of courses, including uses of new technologies, etc.). These contributions may be made individually by the candidate or result from his or her participation in committees or workshops devoted to curriculum development and assessment.
3. Evaluation by peers. Each candidate must offer a recent peer review evaluation from at least two faculty members who have observed two different courses (where applicable, these 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. Student rating forms from all courses taught during the probationary period must be submitted. The primary method of student rating is through course evaluation forms. Additionally, evaluations may be obtained from students once they have graduated.
6. Review of the quality of and contribution to undergraduate student advising and the direction of Independent Study projects, Senior Projects, and honors theses.
7. Review of the quality and effectiveness of the candidate's contributions to the mentoring or supervising of graduate students 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. Contributions to and participation in team-taught courses.
9. Receipt of teaching awards and other formal recognitions of teaching excellence.
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. This may also include volunteer work within the community such as participation in educational outreach programs, training programs for K-12 teachers, and teaching in adult education environments.
11. Receipt of grants for curricular development or for the preparation of instructional units. Grants alone, however, do not suffice; the successful completion of the project shall also be considered.

N.B. Prior Service. Candidates who have previously served in regular faculty positions at accredited universities and colleges elsewhere, and for which service has reduced the maximum period of probationary service at Minnesota, should provide as much

documentation from those previous institutions as possible, including any and all of the above listed forms of evidence.

VII. Departmental Criteria for Tenure – Service

“Service” means that faculty as University citizens actively participate in advancing the interests of 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 brings recognition to the department, the college, and the University. Service is recognized as a significant contribution by faculty and is considered during tenure deliberations.

Relevant Forms of Evidence:

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

1. Participation in the administration and governance of the institution
2. Participation in department, college, and University committees.
3. Administrative appointments in the department, college, and the University.
4. Active participation in University conferences or symposia

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

1. Officer or board member in a state, national, or international professional society.
2. Election to prestigious state and national organizations that recognize excellence within the discipline
3. Consultant or referee for professional publications
4. Reviewer for grant or fellowship applications
5. Panel reviewer or juror for exhibitions or performances
6. Consulting services to professional organizations and government agencies
7. Reviewer for tenure and promotion cases at other universities or colleges
8. Reviewer for academic programs at other universities or colleges

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

1. Outreach to K-12 schools and consultancies with non-profit organizations
2. Providing expert testimony and other forms of public engagement.

VIII. 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, college, University, and the profession. Consideration must also be given to the high quality of scholarship exhibited in directing dissertations and in advising graduate students. 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*).

Relevant Forms of Evidence

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. 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 University of Minnesota 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 Asian Languages and Literatures 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.

A tenured faculty member may be productive in many ways in the work of the department, the university, and the field at large; consequently, the department acknowledges that faculty members will bring their own particular approaches to the realms of research, teaching, and service, depending on their own strengths and interests. Evaluation of tenured faculty will embrace a comprehensive view of these contributions, taking the faculty member's specific character and orientation into consideration.

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 are also expected to remain effective teachers and to be actively engaged in the communication of knowledge and the supervision, mentoring, or advising of undergraduate and graduate students. The faculty member will offer well constructed and clearly presented courses based upon current scholarship. These courses will include both general department courses and specialty courses in the faculty member's field.

Faculty members will also be accessible to students in their courses for consultation at regularly scheduled office hours. They will also advise graduate students whose field of study is relevant to their own specializations. 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 the academic profession. They will be 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 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.

Where feasible, tenured faculty will also be involved in community service as described under the criteria for tenure.

Annual Post-Tenure Review Process

The Department of Asian Languages and Literatures expects that its tenured faculty will be active in all three domains: research, teaching, and service. During the annual merit review, the current tenured members of the department (meeting as a committee) will review each faculty member's performance over a three-year rolling window (in each case, the member under evaluation will recuse him/herself from the discussion of his/her own case). If, in the annual review, a faculty member's performance over the three-year window appears to be substantially below the stated Goals and Expectations of Tenured Faculty, the committee will report this judgment to the chair of the department. 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 will be informed in writing of her/ his performance and will be informed of steps that should be taken to improve and meet the department's goals and expectations in all three domains within a specified period of time, no less than one year from the date of the letter.

Only tenured members of the department may participate in this and any subsequent part of the post-tenure review process. The chair may also instruct the committee members to examine the performance of specific faculty members whom s/he has found to be below the goals and expectations of the unit in his/her judgment. If both the chair and the tenured faculty members find a faculty member's performance to be substantially below the goals and expectations of the department, they will send a letter to the faculty member, describing and explaining that finding. The letter will be signed both by the chair of the department and by the chair of the committee,

will specify the deficiencies, and will set a time period (of at least one year from the date of the letter) during which the faculty member should address the identified problems. The faculty member may communicate to the chair in writing relevant information to dispute the committee judgment. The chair will also meet individually with the faculty member whose work is alleged to be substandard in order to discuss the means of improving the faculty member's performance to acceptable levels. During the following year, the chair and the committee will work with the faculty member to improve performance and remedy perceived deficiencies during that time.

At the end of the specified time, both the chair and the committee will again review the faculty member's performance. If they again find that performance is substantially below the goals and expectations of the department, they may ask the dean to initiate a special peer review of that faculty member. To commence this process, the chair of the department and the committee will send a letter or memorandum to the dean and to the faculty member, setting out their findings with a copy of the documents they have reviewed.

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.c.

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

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.