DEPARTMENT OF CIVIL, ENVIRONMENTAL, AND GEO-ENGINEERING (CEGE)
CRITERIA FOR PROMOTION AND TENURE

These criteria were recommended by a vote of the Civil, Environmental, and Geo-Engineering (CEGE) faculty, 5 May 2017. Final approval from the Senior Vice President for Academic Affairs and Provost was given on 28 December 2017.

To be used with the Regents Policy on Faculty Tenure effective June 10, 2011. Updates of this document are available on the world-wide web: https://policy.umn.edu/hr/tenure
I. Introductory Statement

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 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, 2011 hereafter cited as Faculty Tenure), Section 7.11. General Criteria.
C. Recommendation for promotion to Associate Professor and 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 Sections 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 (2012), hereafter referred to as Procedures.

II. Department Mission Statement

We learn concepts and methods, discover solutions and processes, and transform the world by addressing critical challenges in designing and protecting our infrastructure, environment, water and earth resources.

Learn – We offer rigorous undergraduate degree programs that prepare students for a professional career or advanced study. Our graduate programs challenge the frontier of knowledge.

Discover – We develop and design solutions using analytical, numerical, and physical models. Our original ideas, diverse perspectives, and international collaborations take advantage of the urban laboratory and the Minnesota landscape.

Transform – We connect with and serve as a resource for the profession, society, and local community. We include, listen to, and support people with different backgrounds and perspectives.

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, Procedures, and the criteria described here (Section IV).

Mentoring is an important component in the promotion and tenure process. Each probationary faculty will have two assigned mentors, who are expected to serve as the formal mentors to answer or seek answers to any questions that the probationary faculty member may have on the promotion and tenure process. Informal mentoring occurs through discussions with any tenured faculty member in the department.
Tenure decisions may be made in any year of the probationary period, as described in Section 5.2 of *Faculty Tenure* and Section 9 of *Procedures*. 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 increments at the request of the faculty member for childbirth/adoption, caregiver responsibilities, or medical reasons. The criteria for evaluation of faculty who have their probationary period extended are no different than the criteria for faculty who do not have an extension of the probationary period. Extension of the probationary period in accordance with Section 5.5 may not be a factor in the evaluation.

The department may recommend termination of a candidate’s appointment at any time in accordance with Section II.F of *Procedures*.

The formal review of the candidate occurs annually and includes the following steps:

1. The probationary faculty prepares her/his promotion and tenure document for review by the Promotion and Tenure (P&T) Committee, consisting of all tenured faculty in the department.

2. The probationary faculty prepares material for presentation by one of the two faculty mentors or designated alternate to the P&T Committee. See *Procedures* for details of the annual review file and its preparation.

3. The faculty mentor or designated alternate presents the case to the P&T Committee.

4. The P&T Committee discusses the case, and may ask for further information, which will be reviewed at a later date.

5. The department head will meet with the candidate, verbally communicate the P&T Committee’s assessment of her/his case for promotion and tenure, discuss actions that need to be taken, and complete and sign President’s Form 12, which summarizes the P&T Committee’s discussions for the year.

6. The probationary faculty will also review and sign the Form 12 statement.

The department encourages interdisciplinary work, and will consider both disciplinary and interdisciplinary work similarly in the P&T process. Joint appointments will require special consideration for promotion and tenure, which will be decided at the time of hiring and adjusted as required by the P&T Committee and the probationary faculty during the probationary period.

**IV. Conferral of Indefinite Tenure**

Section 7.11 of *Faculty Tenure* specifies the criteria for tenure:

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

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.

[FN 1] “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 2] 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 3] 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 Civil, Environmental, and Geo-Engineering, 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 Civil, Environmental, and Geo-Engineering, teaching and research are both valued in the tenure decision.

A faculty member may choose to participate in service to the profession and in other governance and service activities. These contributions will be considered, although they 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.

When considering the record of probationary faculty who have extended the 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. That is, a record of six years post-hiring with a one-year extension must be considered the same way that one considers five years post-hiring with no extension.

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:

- Written evaluations by students; where quantitative course evaluations are used, performance is expected to be in the satisfactory range as defined by the department norms for those courses when available
- Written evaluations by peers based on classroom visits and review of course materials
- Development of new courses and/or laboratories
- Supervision of undergraduate research projects
- Advising of undergraduate and professional student organizations
- Development of instructional materials
- Publication of textbooks
• Local and national awards for teaching

• Participation in teaching improvement programs and an upward trajectory in student evaluations

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, including peer evaluation of the progress of the candidate’s advisees. Other factors that may be taken into consideration at the graduate level are:

• Written evaluations by students

• Written evaluations by peers based upon classroom and/or seminar visits

• Development of new courses and/or laboratories

• Supervision of postdoctoral personnel and other post-baccalaureate programs and students

B. Research

The quality of a candidate’s original disciplinary and/or interdisciplinary research and the impact of the research on the profession 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 be based include, but are not limited to, the following:

• Written evaluations of the candidate’s research activities and of the candidate’s publications in peer-reviewed research journals and research monographs. These evaluations are requested from persons who are generally recognized as leaders in the candidate’s research area. 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. The candidate will be asked to suggest the names of reviewers to the department head in consultation with the chair of the departmental promotion and tenure committee. The Procedures for Reviewing the Performance of Probationary Faculty require that the department should seek appraisals both from persons suggested by the candidate and from other recognized scholars in the field.

• External research funding from sources outside the University, only in as much as this is a measure of the research skill and competence of the candidate

• For strongly interdisciplinary research, letters of evaluation from faculty in the related unit(s) and from some external reviewers whose research crosses similar interdisciplinary boundaries

• Collaborative research information from the candidate on his/her relative contribution to the work with review by other faculty members involved in the research
• Examples of the candidate’s publications in the form of journal reprints, abstracts, conference preprints, conference proceedings, and other professional publications. These are an integral part of the documentation upon which the decision on the quality of the candidate’s research is based, but they do not form the only basis for that decision.

• Participation in professional conferences, symposia, meetings, and special lectures, especially those for which participation was by invitation

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 profession, and that it is a measure of the candidate’s potential to make continuing contributions in pure and/or applied engineering research.

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

• Research awards and honors granted by professional societies, government agencies, and industry

• Patents, inventions, technology transfer, and other such developments of a significant scientific or engineering nature

• Publication of scholarly review articles and research monographs

C. Service

In the Department of Civil, Environmental, and Geo-Engineering, service to the profession is considered to be a component of a faculty member’s professional obligations. It enhances the faculty member’s professional reputation, and it brings recognition to the department and the University. Some level of professional service interaction with the external community will therefore be expected for the recommendation for any promotion within the department. By itself, however, service to the profession is not a sufficient basis for the granting of tenure.

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

• Editor or associate editor of a refereed professional journal

• Officer in a national or international professional society

• Member on a national or international professional committee

• Member of a governmental or private advisory committee
• Organizer of a national or international symposium or conference

• Reviewing of technical or scientific papers for journal publication or conference presentation, and the reviewing of proposals for funding agencies

• Professional registration

Where appropriate, participation in the governance of the institution and other services to the University and the academic unit may be included to support a tenure recommendation.

Examples of such services include, but are not limited to, active participation in departmental, collegiate, and University committees and administration. Participation in public outreach events and public education is encouraged and valued, and is considered important for the continued public support of the field, but is not a criterion for tenure.

V. Promotion

The following paragraphs describe the criteria for promotion to tenured ranks from within the Department of Civil, Environmental, and Geo-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 College of Science and Engineering is always accompanied by the granting of indefinite 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 stated in Section IV. Service contributions are also included in the evaluation of the candidate, but cannot be used in place of either the teaching or the research criteria.

B. To associate professor (with tenure) from associate professor (probationary)

The granting of indefinite tenure to an associate professor on a probationary appointment requires that the candidate meet all the requirements for effectiveness in teaching and professional distinction in research as stated in Section IV.

C. To professor from associate professor

Section 9.2 of Faculty Tenure specifies the 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 4]. This determination is reached through a qualitative evaluation of the candidate’s record of scholarly research or other creative work, teaching, and service [FN 5]. 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. The primary emphasis, however, must be on demonstrated scholarly or other creative achievement and on teaching effectiveness; service alone cannot qualify the candidate for promotion.

[FN 4] “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 5] 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 subsection 7.4 for the granting of indefinite tenure, the nondisclosure of grounds for the decision (subsection 7.5), and the review of recommendations (subsection 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 subsection 7.7 for decisions about promotion to associate professor and conferral of indefinite tenure.

Specific details on the nature and weight of these contributions in the individual academic unit are given in the statements required by subsection 7.12 (“Departmental Statement”), but the primary emphasis must be on demonstrated scholarly or other creative achievement and on teaching effectiveness. Service standing alone, without a distinguished record of research or other creative work and teaching as an associate professor, is an insufficient basis for promotion.

For promotion to professor in the Department of Civil, Environmental, and Geo-Engineering, it is expected that the candidate’s performance and accomplishments will have exceeded that achieved for promotion to associate professor. All associate professors are strongly encouraged to work to achieve promotion to professor. It is the responsibility of the department head to advise the associate professors on their progress. This will be performed through formal evaluation once every four years, along with the completion of President’s Form 13, and annual merit reviews. The P&T Committee will consider the case of an associate professor for promotion once per year, if the associate professor requests such a consideration.

A candidate for promotion to the rank of professor must have achieved a high level of professional distinction through disciplinary and/or interdisciplinary research contributions to the profession that are distinguished by substance, quality, and creativity, as reflected in the candidates national and international reputation, and through consistently high standards in teaching. Candidates are expected to have supervised doctoral students to graduation and to have demonstrated their ability to serve as principal investigators over a period of years. Service to the profession, participation in the governance of the institution, and other services to the
For promotion to the rank of professor, the candidate is expected to satisfy the criteria specified in Section IV, with emphasis on:

- High quality research, which 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
- Demonstrated high quality teaching
- A record of effective advising of masters and doctoral degree candidates

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 membership and the holding of office in professional societies
- General professional contributions such as editorships, expository writing, and other activities that enhance the professional stature of the candidate
- Effective advising of post-doctoral personnel

VI. Post-Tenure Review of Faculty Performance

The goals and expectations for tenured faculty will parallel those used in granting tenure, taking into account the different stages of professional development, and will provide for flexibility. Tenured faculty in the Department of Civil, Environmental, and Geo-Engineering are expected to maintain an active research program, teach courses as required by the department, advise students, and serve the goals of the department and college. They are also expected to support their research as necessary and to publish and present their results.

According to Section 7a of Faculty Tenure, all faculty members are reviewed annually by the department head as part of the annual merit review process in accordance with Senate policy. If the department head determines that a faculty member’s performance might be substantially below the goals and expectations of the department, the Post-Tenure Review Committee will review the individual case. The Post-Tenure Review Committee consists of three (full) professors each elected by secret ballot of the department’s tenured faculty for a three-year term that is staggered – an election for one member is held each year. If the review process of the Post-Tenure Review Committee determines that the faculty member’s performance is substantially below the goals and expectations of the department for two consecutive years, then the faculty member will be so advised in writing with recommendations for improved
performance and a time period of at least one year to demonstrate improvement. If the faculty member’s performance continues to be substantially below the goals and expectations, then the procedures described in 7a.3 of *Faculty Tenure* will be followed.

Each tenured faculty member is expected to continue to make significant, career-long contributions in the categories of teaching, research, and service. With recognition that there are challenges in distinguishing between teaching and research activities at the advanced level (e.g., research activities with undergraduate and graduate students), a typical distribution of effort for a tenured faculty member is 30-50% teaching, 30-65% research, and 5-25% service. Distribution of effort substantially different should be negotiated with the department head and recorded by a memorandum of understanding (MOU). For example, if a tenured faculty member reduces research activities, that person may negotiate assignment to other duties, such as increased teaching and service. The negotiated responsibilities might vary depending on the talents of the faculty and the needs of the department. Guidelines for satisfactory performance follow.

**Teaching**

Do both of the following, unless previously agreed upon with the department head:

- Teach 5 courses over two years in a satisfactory manner based on course evaluations by students and/or peers. Certain administrative duties may reduce the expected course load.

- Routinely accept responsibilities associated with serving on examination committees for graduate students.

**Research**

Have a record of regular publication in peer-reviewed journals and two of the following:

- Inventor on one or more patent applications

- Regular submission of grant applications as PI or co-PI

- PI or co-PI on a research grant

- Adviser to one or more graduate students

- Adviser to one or more undergraduate student researchers

- Invited speaker at a national or international meeting

- Invited seminar speaker at colleges, universities, companies, or national labs

- Organizer or co-organizer of a symposium at local, national, or international meetings

- Author or co-author of one or more peer-reviewed conference paper
• Other significant research contributions

Service

Participate in two or more of the following:

• Chair or member of one or more department committees

• Member of a University- or College-wide committee

• Organizer of, or contributor to, an outreach activity

• Reviewer of scholarly articles and grant proposals written by others

• Member of one or more journal editorial advisory boards

• Chair or member of one or more committees through professional societies

VII. Procedures

A. Promotion and/or Tenure Procedures

The Department of Civil, Environmental, and Geo- Engineering complies with the procedures as provided by Sections 7.4, 7.61 and 16.3 of Faculty Tenure, with the following additions to the process:

1. A motion to recommend promotion and/or tenure must achieve an exceptional majority of 2/3 (two-thirds) of the eligible voters in order to constitute an affirmative recommendation of the department.

2. The Chair of the Promotion and Tenure (P&T) Committee will make every reasonable effort to contact and inform the members of the P&T Committee about the status of the review process. All tenured faculty in the department are “eligible voters,” except those who are on university-approved leave and could not be contacted or could not be informed of the candidate’s dossier.

3. Eligible voters of the P&T Committee who do not vote must provide written justification for their action. This will be retained as a permanent record.

B. Procedures for the Annual Review of Probationary Faculty

In addition to the meetings at which promotion and tenure are considered, tenured faculty will meet to review the progress of all probationary faculty not being considered for promotion and/or tenure in that year. A summary of progress for each probationary faculty member will be
presented by a faculty mentor or delegated faculty. The presentation of each summary will be followed by general discussion. Based on this discussion and any other relevant information, the head may recommend initiating formal consideration of either early promotion or termination of a probationary faculty member.

If termination is to be considered, a separate meeting of the tenured faculty on that issue will be scheduled a minimum of two weeks later. This meeting will culminate in a vote of the tenured faculty. Absentee ballots by those eligible to vote are permitted only if they are received prior to the vote by those present. An exceptional majority of 2/3 (two-thirds) of the eligible voters is required to recommend termination. If early promotion is to be considered, the procedures and timetable for departmental action will be the same as for promotion at the end of the normal probationary period.