

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

**Department of Political Science
College of Liberal Arts**

*Approved by the Faculty of the Department of Political Science on January 20, 2010
Approved by the Senior Vice President for Academic Affairs and Provost on June 3, 2010*

I. Introductory Statement

This document is intended to specify the indices and standards to be used by the Department of Political Science to determine whether candidates meet the University of Minnesota's general criteria for indefinite tenure as they are set out in section 7.11 of the Regents Policy on *Faculty Tenure*, as well as the indices and standards for promotion to the rank of professor as they are set out in section 9.2 of the same Regents policy. For a complete overview, the reader is advised to review sections 7 and 9 in their entirety. This document is also consistent with the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty*.

The document contains indices and standards for the following personnel evaluations:

- annual reviews of probationary faculty
- recommendation for awarding indefinite tenure
- recommendation for promotion
- annual performance appraisal for post tenure review according to Section 7a of the Regents' Policy on *Faculty Tenure*

II. Mission Statement

The Department of Political Science is dedicated to the creation and transmission of knowledge about politics and political science. The Department promotes original research, creative teaching, and public service in public life and the discipline of political science. It expects that all faculty members will be actively engaged in all three areas of the Department's mission. The Department values distinguished disciplinary and interdisciplinary research, teaching, advising, publicly engaged scholarship, and civic education that disseminates knowledge and skills about politics and political science to widely diverse audiences.

III. Annual Reviews of Probationary Faculty

The tenured faculty of the Department of Political Science 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 addition to annual reviews, there is a third-year consultation with probationary faculty members. The consultation is an encouraging, mentoring forum that can provide forward-looking advice as well as a serious, substantive, and sustained analysis and evaluation of the probationary faculty member's teaching, research, and service at roughly the mid-point of probationary status.

Individuals appointed initially as instructors in tenure-track positions will be promoted to assistant professor (without tenure) upon certification that all requirements for the Ph. D. have been completed. Failure to complete all requirements for the Ph. D. degree by the end of the first full twelve-month period of service in the Department shall ordinarily result in a terminal one-year contract.

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 a member of the faculty, who has had the probationary period extended, are no different than the criteria for a faculty member who does not have an extension of the probationary period. Extension of the probationary period in accordance with Section 5.5 may not be a factor in the evaluation. (See Appendix A for Section 5.5 of the Regents Policy on *Faculty Tenure*.)

IV. University Standard – General Criteria for Tenure

Regents Policy on *Faculty Tenure*, Section 7.11, General Criteria

What the University of Minnesota seeks above all in its faculty members is intellectual distinction and academic integrity. The basis for awarding indefinite tenure to the candidates possessing these qualities is the determination that each has established and is likely to continue to develop a distinguished record of academic achievement that is the foundation for a national or international reputation or both [3]. This determination is reached through a qualitative evaluation of the candidate's record of scholarly research or other creative work, teaching, and service [4]. The relative importance of these criteria may vary in different academic units, but each of the criteria must be considered in every decision [5]. Demonstrated scholarly or other creative achievement and teaching effectiveness must be given primary emphasis; service alone cannot qualify the candidate for tenure. Interdisciplinary work, public engagement, international activities and initiatives, attention to questions of diversity, technology transfer, and other special kinds of professional activity by the candidate should be considered when applicable. The awarding of indefinite tenure presupposes that the candidate's record shows strong promise of his or her achieving promotion to professor.

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

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

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

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

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

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

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

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

V. Departmental Criteria for Tenure – Research

To receive indefinite tenure, a faculty member will be expected to have demonstrated professional distinction in scholarly research and to show evidence of continued academic distinction. Most probationary faculty are also promoted to the rank of associate professor when they receive indefinite tenure, although tenure may be conferred on an associate professor who holds a probationary appointment.

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

Documentation

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

(A) Evidence of excellence in research is provided by the candidate's research 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 within the discipline of political science and, where pertinent, to interdisciplinary scholarly communities. (See Section 12 of the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty* for details about reviewers.) The following points guide the assessment of the candidate's record:

1. "Openly available" research 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 original research articles and books, book chapters, edited collections and anthologies, critical editions, translations, reviews, and published lectures.
3. Peer-reviewed publications 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. It is under contract when there is documentation of explicit acceptance for publication. A book, journal article, or book chapter is considered in production when a letter from the publisher or editor states that all required revisions have been satisfactorily made, that no further reviews will be sought, and that the work has been put on a production schedule with an expected date of publication indicated.
5. Work under review may be considered; this category receives less weight than published or completed work.
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.
8. There should be a substantial body of achievement upon which judgments of quality can be made.

(B) Evidence of disciplinary and, as appropriate, interdisciplinary 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 or symposia/workshops.
5. Active participation on editorial boards.

6. Success in attracting external and internal grants and fellowships.
7. Invited scholarly presentations.
8. Translations, reprints, citations, or reviews.

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

1. Development of an independent body of significant work beyond the Ph.D.
2. Sustained and continuous growth in research that is significant to the discipline of political science and potentially to interdisciplinary scholarly communities.

VI. Departmental Criteria for Tenure – Teaching

It is expected of every faculty member in the Department of Political Science 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 and, as appropriate, interdisciplinary thought.

“Effective” means that a candidate enables or produces the intended result of student learning. Specifically, candidates for tenure should demonstrate course-appropriate content expertise and an ability to transmit such knowledge to students through instructional design, delivery, and assessment. Instructional design includes the ability to create and present experiences that lead to learning. Instructional delivery—including lecturing—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" itself consists in the first instance of classroom instruction. However, it also encompasses other forms of communication of knowledge (both to students registered in the University and to persons in the extramural community) as well as the supervision, mentoring or advising of individual graduate or undergraduate students, whether individually or in groups. Effectiveness in teaching may be enhanced by the candidate's participation in teaching enrichment programs and training workshops. Effectiveness in teaching will be determined by the consideration of the following:

Documentation

1. A review of courses taught. This will include review of course syllabi, statements of goals and objectives, and methods employed, as well as assignments and examinations prepared for the course.
2. A review of any contributions made to the curriculum of the Department (development of courses, 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 recent peer review evaluations from at least two faculty members who have observed different courses. The chair of the

department will set up the peer review process and will work with the probationary faculty member to arrange appropriate peer reviewers.

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 ratings of teaching. Student rating forms from all courses taught during the probationary period must be submitted. The primary method of student rating is through course rating forms. Additionally, evaluations may be obtained from students once they have graduated.
6. Review of the quality of and contribution to undergraduate student advising and the direction of Honors theses, Directed Study, Independent Study, Senior Projects, or mentoring of students involved in programs like the Undergraduate Research Opportunity Program, Bachelor of Independent Study, and Individually Designed Interdepartmental Major.
7. Review of the quality and effectiveness of the candidate's contributions to the mentoring or supervising of graduate students in their scholarship and teaching. For example, evidence concerning advising at the Master's and Ph.D. level, Plan B paper and dissertation supervision, Ph.D. oral and written preliminary exam participation, and professional development and job placement activities.
8. Receipt of teaching and advising awards and other formal recognitions of teaching excellence.
9. Any other contribution to the teaching mission of the Department, such as service as Director of Undergraduate Studies or Director of Graduate Studies, or as leader of teaching and professional development workshops within the program, University, profession, or community.
10. Receipt of grants for curricular development or for the preparation of instructional units. Grants alone, however, do not suffice; the successful completion of the project shall also be considered.

N.B. Prior Service. Candidates for tenure, 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 to the department, the college, the University and the profession is an integral component of a faculty member's professional obligation. A faculty member's participation in the governance of the department, service to the college and University, and service to professional organizations and communities related to the candidate's research enhance the faculty member's professional standing, and bring recognition to the department, the college, and the University. Service is recognized as a significant contribution by faculty and is considered during tenure deliberations, but service alone cannot qualify the candidate for tenure.

Documentation

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

1. Participation in the administration and governance of the institution
2. Participation in department, college, and university committees
3. Administrative appointments in the department, college, and the university
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 or pertinent interdisciplinary communities.
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

(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
3. Speaking engagements
4. Holding public office

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 and, as appropriate, interdisciplinary scholarly communities. She or he must also be distinguished through the quality, substance, and high standards of his or her teaching and advising, and continued effective service to the Department, University, and the profession. Associate professors are encouraged to work toward promotion to the rank of professor, as implied in the last sentence of Section 7.11 of the Regents Policy on *Faculty Tenure*.

Documentation

The forms of evidence used to justify promotion to professor are the same as those used to justify awarding of tenure to and promotion of probationary faculty in the areas of research, teaching, and service. A higher level of achievement in all three areas, as measured by the quality, distinction, visibility, and impact of the research, teaching, and service, is required. A body of significant work is expected beyond the record at the time of granting tenure. Regular, high-quality teaching and advising of M.A. and Ph.D. students, in addition to undergraduate instruction, is expected, and service contributions to the department, college, University, and profession should be substantial and significant.

X. Review of Tenured Faculty Performance

Introductory Statement

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

Goals and Expectations for Tenured Faculty

In accordance with Section 7a.1 of the Regents Policy on *Faculty Tenure*, the Department of Political Science 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. Departmental goals and expectations will not violate the individual faculty member's academic freedom in instruction or in the selection of topics or methods for research.

Expectations Regarding Research and Publication

Research and publication are vital components of the responsibilities of tenured faculty. It is expected that tenured faculty in Political Science will become and remain leading and influential scholars in their fields of specialization. Satisfactory scholarship is understood as involvement in an explicit research program, including some combination of 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 members are expected to remain effective teachers and to be actively engaged in the communication of knowledge and the supervision, mentoring, or advising of graduate and undergraduate students. Tenured faculty will offer courses at both the undergraduate and graduate levels. Courses are to be well-constructed and based upon current scholarship. Faculty members will also be accessible to students for consultation at regularly scheduled office hours. 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 their profession through such activities as participation in scholarly meetings, editorial and reviewer service for professional journals, conference planning, and service in professional associations. Tenured faculty members are also expected to contribute regularly to the governance and administration of the Department, College, and University. In all of these endeavors the quality of involvement is paramount. When feasible, tenured faculty will also be involved in community service consistent with the criteria for tenure.

Annual Post-Tenure Review Process

The Department of Political Science expects that its tenured faculty will be regularly active in all three domains: research, teaching, and service. Each member of the faculty in the Department of Political Science is reviewed annually in light of the goals and expectations stated above. This review is conducted by the Merit Advisory Committee and the chair. If for three consecutive years a tenured member of the Department is evaluated as below the goals and expectations on those domains, a committee of tenured members of the faculty will be elected to conduct a formal post-tenure review. In accordance with Section 7a.2 of the Regents Policy on *Faculty Tenure*, if the chair and the elected committee are in agreement that the faculty member's performance has fallen below departmental expectations for three years, they will

compose and co-sign a letter to that faculty member. That letter will identify the steps that should be taken to improve in order to meet the Department's expectations within a specified period of time (at least one year from the date of the letter to the faculty).

In accordance with Section 7a.3 of the Regents Policy on *Faculty Tenure*, a tenured faculty member in the Department of Political Science who continues to be substantially below the goals and expectations of the Department and who has not made sufficient improvement at the end of the time period described in the previous paragraph may undergo a special peer review pursuant to a joint request to the dean by the chair of the Department and the tenured members of the Merit Advisory Committee.

Special Post-Tenure Review Process

The special peer review of a tenured faculty member at the dean's level follows the process outlined in Section 7a.3.

5.5 Exception For New Parent Or Caregiver, Or for Personal Medical Reasons. The maximum period of probationary service will be extended by one year at the request of a probationary faculty member:

1. On the occasion of the birth of that faculty member's child or adoptive/foster placement of a child with that faculty member; or
2. When the faculty member is a major caregiver for a family member[2] who has an extended serious illness, injury, or debilitating condition. A faculty member may use this provision no more than two times; or
3. When the faculty member has an extended serious illness, injury, or debilitating condition.

The request for extension must be made in writing within one year of the events giving rise to the claim and no later than June 30 preceding the year a final decision would otherwise be made on an appointment with indefinite tenure for that faculty member.

Appendix B – Section 7.12 of the Regents Policy on *Faculty Tenure*

7.12 Departmental Statement. [6] Each department or equivalent academic unit must have a document that specifies (1) the indices and standards that will be used to determine whether candidates meet the threshold criteria of subsection 7.11 (“General Criteria” for the awarding of indefinite tenure) and (2) the indices and standards that will be used to determine whether candidates meet the threshold criteria of subsection 9.2 (“Criteria for Promotion to Professor”). The document must contain as an appendix the text and footnotes of subsections 7.11 and 9.2, and must be consistent with the criteria given there but may exceed them. Each departmental statement must be approved by a faculty vote (including both tenured and probationary members), the dean, and other appropriate academic administrators, including the Senior Vice President for Academic Affairs and Provost. The chair or head of each academic unit must provide each probationary faculty member with a copy of the Departmental Statement at the beginning of the probationary service.