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

Department of Sociology
College of Liberal Arts

Approved by the Senior Vice President for Academic Affairs and Provost on February 5, 2010
Approved by the Faculty of the Department of Sociology on January 25, 2010

I. Introductory Statement

This document is intended to specify the indices and standards to be used by the Department of Sociology 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. ¹ 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 Board of Regents Policy on Faculty Tenure

II. Mission Statement

The Department of Sociology is dedicated to the creation and transmission of sociological knowledge and understanding. The Department promotes original research, creative teaching and advising, and public service related to the discipline of sociology, and expects that all faculty be actively engaged in all three areas of the Department’s mission. The Sociology Department values distinguished disciplinary and interdisciplinary research and teaching, and publicly engaged scholarship that disseminates sociological knowledge and its practical application to widely diverse audiences.

¹ Most probationary faculty are also promoted to the rank of associate professor when they receive indefinite tenure, although tenure may be conferred on an associate professor with a probationary appointment.
III. Annual Reviews of Probationary Faculty

The tenured faculty of the Department of Sociology 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

Candidates for indefinite tenure must have established a distinguished record of academic achievement in sociology and must show evidence of continued academic distinction (see footnote on page 1).

A “distinguished” record is prominent and conspicuous by its excellence. To achieve this, a candidate must have produced a body of research achievement that is scholarly, creative, and of high quality and significance, and must be recognized and visible within his or her domain of research within the field of sociology.

Documentation

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 of Sociology and the College, and externally, by a panel of recognized experts from outside the University, to determine whether it is 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. In the case of a candidate for tenure who is an interdisciplinary scholar, external reviewers will be selected from sociology and from other relevant disciplines and fields. The following points guide the assessment of the candidate's record:
1. 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.

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, integrative text books that advance the discipline, work in other relevant disciplines and fields, and published lectures.

3. Work under review or in progress may be considered; however, this category receives less weight than published or completed work.

4. Peer-reviewed publications generally will receive greater weight than publications that are not peer reviewed.

5. Publications by eminent presses and those appearing in journals, series, or volumes that have stringent peer review, major disciplinary significance and broad circulation in the general sociological community or in the candidate's central area of specialization generally receive the most weight, compared to those that are not highly visible.

6. Contributions to non-peer reviewed journals, edited collections, and other scholarly productions that are not peer reviewed will also be evaluated; however, this category receives less weight than peer-reviewed publications.

7. Translations, reprints, and citations or reviews of a candidate's work may provide evidence of the visibility, importance, or influence of the work.

8. For all multi-authored or collaborative works, the file must specifically describe the candidate's contribution.

9. National recognition from peers as exemplified by external research funding from sources outside the University by competition as appropriate to subfield. In addition, competitive funding from sources within the University will be considered, but given less weight.

10. Promise of future productivity, including but not limited to funded projects underway but not completed, completed data collection, and manuscript drafts.

11. Evidence of public engagement, including publicly oriented research activities and outreach; this category is not mandated but will be taken into consideration.

12. Participation in scientific meetings as well as invited scientific symposia and lectures.

13. While quality is more important than quantity, the candidate must present a substantial body of achievement.

VI. Departmental Criteria for Tenure – Teaching

Candidates for indefinite tenure in the Department of Sociology must be effective teachers and are encouraged to teach at both the undergraduate and graduate level (see footnote on page 1).
“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 classroom instruction. It includes other forms of communicating knowledge to registered University students, such as supervising, mentoring, or advising graduate or undergraduate students whether individually or in groups.

Documentation

1. Faculty peer review: Methods of evaluation include review of syllabi, statements of goals and objectives, methods employed, assignments, exercises, examinations prepared for courses, and in-class observations of teaching by a designated tenured faculty member.
2. Review of contributions made to the curriculum of the Sociology Department, such as development of courses, course sequences, new areas of instruction, major/minor sequences, substantive refinements of courses, and uses of new technology. Such contributions may be made individually by the candidate or result from participation in committees or workshops devoted to curriculum development and assessment.
3. Development of instructional material, including but not limited to computer software, compilations of readings, course guides for Independent Study courses, and publication of textbooks and other teaching related publications.
4. Student Ratings: The primary method of student rating is through student rating forms. Additionally, letters of recommendations may be obtained from students once they have graduated.
5. Evidence of effective advising and mentoring degree candidates at the undergraduate level; for example, evidence concerning Honors theses, Directed Study, Independent Study, BIS (Bachelor of Individualized Study) and IDIM (Individually Designed Interdepartmental Major) mentorship, and Senior Projects.
6. Evidence of effective teaching and direction through teaching assistants, including the training of graduate assistants.
7. Evidence of effective advising and mentoring degree candidates at the Ph.D. level, thesis and dissertation supervision, Ph.D. oral and written preliminary exam participation, and professional development and job placement activities.
8. Teaching awards and other formal recognitions of teaching excellence.
9. Grants for curricular development, training, or for the preparation of instructional materials.
10. Evidence of public engagement, including publicly oriented teaching activities and outreach; this category is not mandated but will be taken into consideration.
11. Noteworthy contributions to the teaching and advising mission of the department, such as service as Director of Undergraduate Studies or Director of Graduate Studies.
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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 actively participate in serving the Sociology Department, the College, the University, the profession and the community.

Service to the Sociology Department, College, the University and the sociology profession is an integral component of a faculty member's professional obligation. Note, however, that the primary emphasis must be on demonstrated scholarly achievement and on teaching effectiveness, and service alone cannot qualify the candidate for tenure. 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 Sociology department, the College, and the University. Service is recognized as a significant contribution by faculty and is considered during tenure deliberations.

Disciplinary service, interdisciplinary work and public engagement will be taken into consideration in evaluating the candidate’s satisfaction of criteria. Such contributions can involve scholarly research, teaching, and service based on one's academic expertise.

Documentation

1. Examples of service to the institution include but are not limited to:
   a. Participation in the administration and governance of the Sociology department.
   b. Participation in College and University committees.
   c. Administrative appointments in the College and the University.
   d. Active participation in University conferences or symposia.
   e. Attendance at convocation and commencement ceremonies.
   f. Serving as a faculty advisor for a student organization.
   g. Participation in department events focused on community building, recruitment, alumni relations, and development activities.

2. Examples of service to the profession include but are not limited to:
   a. Officer or board member in a state, national, or international professional society with ties to sociology as a field.
   b. Election to prestigious state and national organizations that recognize excellence within the discipline of sociology.
c. Consultant or referee for professional publications in sociology or some subfield of it.
d. Reviewer for grant or fellowship applications.
e. Pro bono consulting services to professional organizations and government agencies.

3. Examples of service to the community include but are not limited to:
   a. Outreach to schools and consultancies with non-profit organizations.
b. Providing expert testimony.
c. Participating in community activities in ways that draw on sociological expertise.
d. Responding to media inquiries (i.e., television, radio, print and electronic media) or providing expert commentary in the media.
e. 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 in the Department of Sociology indicates the attainment of distinction within the field of sociology and the highest academic achievement. Promotion to this rank is based on attaining a national or international scholarly reputation through significant publication achievements advancing sociology in the individual’s area of specialization, continued effective teaching and contributions to instruction, and continued effective service to the Department, University, the profession, and the community. Those seeking promotion to Professor shall have demonstrated additional distinction in research and scholarship beyond that which justified tenure and promotion to associate professor. 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).

Documentation

The forms of evidence used to justify promotion to professor are the same as those used to justify promotion to associate professor in the areas of research, teaching, and service. A higher level of achievement in all three domains, as measured by the distinction, significance, and impact of the research, teaching, and service, is required. Regular, high-quality teaching and advising of Ph.D. students, in addition to undergraduate instruction and advising, is expected, and service contributions to the Department, 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 Sociology has established the following goals and expectations for tenured faculty.

The goals and expectations for tenured faculty in the Department of Sociology are similar to the criteria for tenure and promotion to associate professor, and promotion to professor. Specifically, tenured faculty in the Department of Sociology are expected to continue to be recognized and remain visible within their domain of research, and must continue to produce a body of research that is scholarly, creative, and of high quality and significance. Significant contributions include: the publication of books (as editor or author), monographs, articles, book
chapters, research reports, and review essays; the presentation of work at conferences or in academic or policy settings; and obtaining research grants.

Tenured faculty are also expected to remain effective teachers and be actively engaged in the communication of knowledge and the supervision, mentoring, or advising of graduate and undergraduate students. Effectiveness will be evaluated by: number and progress of graduate student advisees, service on graduate student dissertation committees, review of courses taught, courses developed, textbooks and related materials, willingness to undertake independent projects with students, student evaluations, teaching awards, and participation in teaching seminars and conferences.

Tenured faculty shall continue to demonstrate commitment to service to the Department, University, profession and community. Service contributions are defined as committee work and holding office in the Department and University, as well as contributions to professional activities and service to the community.

**Annual Post-Tenure Review Process**

Each year the Department of Sociology shall conduct a review of tenured faculty.

In conjunction with the annual spring review for merit increases, the three full professors who are elected members of the department's Promotion, Tenure and Salary Committee, designated the Post-Tenure Review Committee, will identify tenured faculty members whose performance appears to be substantially below the goals and expectations as indicated by the committee's overall evaluation of research, teaching and service over the past three years. The department recognizes a diversity of acceptable research trajectories, some of which may involve book monographs or long-term time commitments that result in an absence of publications in the short term. However, faculty members should demonstrate progress in research even if not manifested during such periods in publications. A recurrent pattern of very poor teaching performance constitutes performance substantially below the goals and expectations for effective teaching (as defined in Section VI of this document), as does the persistent failure to meet service obligations (as defined in Section VII of this document).

The Committee will forward their report on any faculty members so identified to the Department Chair in confidence. The Chair will review the committee’s report and the record of any faculty members so identified by the Post-Tenure Review Committee. If the Chair concurs with the committee’s evaluation, the Chair will inform each such faculty member both orally and by letter, clearly stating the performance deficiencies involved. At this point, the identified faculty member may respond orally and in writing to the Chair. The Department Chair will meet with each identified faculty member to assess what can be done to assist the faculty member in improving his or her performance over the course of the next academic year.

If by the next annual review the faculty member's performance remains substantially below the department’s goals and expectations according to the elected Post-Tenure Review Committee and the Chair, these members of the faculty and the Chair will review the faculty member’s performance and determine a set of strategies to be attempted and goals to be achieved over the
following year. Both the Chair and the committee send a letter to the faculty identified member, informing him/her of steps that should be taken to improve in order to meet the Department’s goals and expectations in all three domains within a specified period of time (at least one year from the date of the letter to the faculty member). The identified faculty member shall have an opportunity, at this time, to respond to the recommended plan of action.

At the end of the year following the performance improvement plan, the Post-Tenure Review Committee and the Chair shall review the faculty member’s performance. If 2/3rds vote of the committee indicate that performance is still substantially below the department’s goals and expectations, then a letter summarizing the case, with all relevant correspondence, shall be sent from the Chair and the faculty as a whole to the Dean of the College of Liberal Arts requesting the initiation of a "special review." The case summary sent to the Dean of CLA will include an independent assessment of the faculty member’s case by the department Chair. The identified faculty member may submit to the Dean his or her own response to the Department’s letter.

Before initiating the special review, the dean shall independently review the file to determine that special peer review is warranted.

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 of the Regents Policy on Faculty Tenure.
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.
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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.