

*This statement was adopted by vote of the faculty of the Department of Chemistry on March 28, 2008 and approved by the Senior Vice President for Academic Affairs and Provost on May 6, 2008.*

## **Department of Chemistry, Institute of Technology**

### **7.12 Criteria for promotion and tenure**

#### **I. Introduction**

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

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

In addition, this document is consistent with the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty* (2007), hereafter referred to as the *Procedures*.

#### **II. Department of Chemistry Mission Statement**

The mission of the Department of Chemistry is threefold: to educate students and professionals at all levels through effective teaching, to pursue and disseminate new knowledge through original and creative research, and to advance and apply scientific and technical knowledge and expertise through professional service.

#### **III. Annual Appraisals of Probationary Faculty**

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

Mentoring is an important component of the promotion and tenure process. In consultation with each probationary faculty member, the Department Chair will appoint two tenured members of the Chemistry Department to serve as the Tenure Mentoring Committee. This committee will meet at least once per year with the probationary faculty member to discuss progress and offer advice. The probationary faculty member will be encouraged to share appropriate information with the Tenure Mentoring Committee, including reviews of research proposals and manuscripts, and teaching evaluations. The Tenure Mentoring Committee will submit an annual written report to the Department of Chemistry Chair. The report should summarize the Tenure Mentoring Committee's views on the probationary faculty member's progress, and it should describe issues (*e.g.*, lab space) that the committee or the probationary faculty member feels may be impeding progress toward tenure.

The Department of Chemistry designates a single Tenure Committee for the purpose of pre-tenure review of all probationary faculty members. The Tenure Committee will consist of five tenured faculty members, serving staggered five-year terms. Committee members will be appointed by the Department Chair. It is the responsibility of every probationary faculty member in the Chemistry Department to provide the Tenure Committee annually with updated information on teaching, research, and service contributions. The probationary faculty member may also provide the Tenure Committee with other information he or she feels is relevant, including the report of the Tenure Mentoring Committee. Subsequent to the submission of this information, the Tenure Committee may schedule a meeting with the probationary faculty member to discuss the submitted material. The Tenure Committee will provide a written report of each probationary faculty member's progress to the Department Chair annually. The report will be summarized and discussed with tenured faculty at an annual faculty meeting designated for that purpose. It is the responsibility of the Department Chair to review the report of the Tenure Committee and to summarize the discussion of the tenured faculty with the probationary faculty member.

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 the *Procedures*. A candidate must be considered in a formal tenure review in the last year of the probationary period.

The department may recommend termination of a candidate's appointment at any time in accordance with Section 10 of the *Procedures*.

#### **IV. Conferral of Indefinite Tenure**

Section 7.11 of the *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 [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.

[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.

To be awarded indefinite tenure, a faculty member in the Department of Chemistry 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.

A faculty member may choose to participate in service to the profession and in other governance and service activities. These contributions, however, 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.

The use of any factor other than teaching, research and service in making the decision about a probationary faculty member must be specifically stated and justified at the time of the decision (“Interpretations #6” in the *Faculty Tenure*).

In accordance with Section 5.5 of the *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 identical to 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 a tenure evaluation.

## **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 which 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.
- Written evaluations by peers based upon invited 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.
- The trajectory of undergraduate teaching performance during the probationary period.

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 evaluations 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 invited classroom and/or seminar visits and review of course materials.
- Development of new courses and/or laboratories.
- Supervision of postdoctoral personnel and other post-baccalaureate programs and students.
- The trajectory of graduate teaching performance during the probationary period.

## **B. Research**

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

- The totality of the candidate's research activities and the candidate's publications in reviewed research journals and research monographs.
- External research funding from sources outside the University, inasmuch as this is a measure of the research skill and competence of the candidate. Candidates are expected to seek external research funding from appropriate sources, and to establish an appropriate funding base for ongoing support of the candidate's research program.

- Presentations at professional conferences, symposia, and meetings, especially those for which participation was by invitation, and seminars at other academic institutions, national laboratories, and industrial laboratories.
- Written evaluations from scientists who are generally recognized as leaders in the candidate's research area. The department will seek appraisals both from persons suggested by the candidate and from other recognized scholars in the field. As part of the formal tenure review, the candidate will be asked to suggest the names of ten reviewers to the Department of Chemistry Chair. In consultation with the Chairs of the Tenure and Tenure Mentoring Committees, the Chemistry Department Chair will identify a list of about ten reviewers, at least half of them suggested by the candidate.
- If the candidate has a strong interdisciplinary component in his or her research, the Chemistry Department Chair will solicit letters of evaluation from some reviewers whose research also crosses similar interdisciplinary boundaries. It is the combined responsibility of the Chemistry Department Chair, the Tenure Committee, the Mentoring Committee, and the candidate to determine and define the terms of the interdisciplinary nature of the research.

In evaluating the candidate's research contributions through the various avenues of publication and presentation, the objectives are to establish that the work is of high quality, that it is a scholarly and creative contribution to the candidate's professional discipline, and that it is a measure of the candidate's potential to make continuing contributions in pure and/or applied 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.
- Patents, inventions and other such developments of a significant scientific or engineering nature.
- Publication of scholarly review articles and research monographs.

### **C. Service**

Service-to the profession, the University, or the public- is an integral component of a faculty member's professional obligations. Service enhances the faculty member's professional reputation, and it brings recognition to the department and the University. By itself, however, service is not a sufficient basis for the granting of tenure in the Department of Chemistry.

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

- Editor or associate editor of a refereed scientific or technical journal.
- Officer in a national or international scientific or technical society.
- Member on a national or international scientific or technical committee.
- Member of a governmental or private advisory committee.
- Organizer of a regional, national or international symposium or conference.

The reviewing of technical or scientific papers for journal publication and conference presentation, and the reviewing of proposals for funding agencies, are recognized as services to the profession, but are not weighted as heavily as the services listed above.

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

- Participant in university or collegiate governance activities..
- Member of significant department, collegiate, or university committees..
- Development of new curricula or academic programs..

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

- Participant in public outreach activities.
- Participant in K-12 and post-university education initiatives.
- Activities that explain science to the general public.

## **V. Promotion**

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

### **A. To associate professor (with tenure) from assistant professor (probationary)**

Promotion to the rank of Associate Professor from the rank of probationary Assistant Professor in the Department of Chemistry is always accompanied by the granting of permanent tenure. Thus, a candidate for promotion to Associate Professor must have established a professional record that meets the requirements for effective teaching and professional distinction in research as set forth in this statement. 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 set forth in Section IV.

## **C. To professor from associate professor**

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

**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.

[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.

In the Department of Chemistry, candidates for promotion to Professor are expected to have a record of accomplishment that exceeds that achieved for promotion to associate professor. All Associate Professors are expected to work to achieve promotion to

Professor. To assist them, they will be mentored by a senior colleague, typically the Department Chair, who will act as a colleague advising them on achieving greater professional visibility, participating in professional meetings and on committees, writing successful grant applications, and achieving excellence in teaching.

A candidate for promotion to the rank of Professor must have attained a national or international reputation for his or her research accomplishments. The candidate must have achieved a high level of professional distinction through research contributions to the candidate's discipline that are distinguished by substance, quality and creativity and through consistently high standards in teaching. Service to the profession, participation in the governance of the institution, and other services to the department, college and University, may be taken into consideration, but they are not in themselves bases for promotion to the rank of Professor. Promotion to the rank of Professor will not be granted solely on the basis of length of service to the academic unit.

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

- High-quality research which indicates that the candidate is among the national or international leaders in his or her 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.
- The effective advising of post-doctoral personnel in disciplines where this is appropriate.
- External research funding from sources outside the University, inasmuch as this is a measure of the research skill and competence of the candidate. Candidates are expected to seek external research funding from appropriate sources, and to establish an appropriate funding base for ongoing support of the candidate's research program.

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 present research or lead discussions at 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.

The method of assessment of the performance of a candidate being considered for promotion to the rank of Professor are the same as those employed in the granting of tenure.

## **VI. Post Tenure Review of Faculty Performance**

The goals and expectations for tenured faculty are analogous to those used in evaluating candidates for tenure, but they also take into account the different stages of professional development. Tenured faculty in the Chemistry Department are expected to maintain an active research program, to teach assigned courses in a satisfactory manner, to advise students, and to advance the goals of the department, college and University. They are also expected to obtain support for their research activities as necessary and to publish and present their research results when appropriate. If a full Professor stops conducting research at a sufficiently productive level, that person will be assigned other duties, such as increased teaching or service.

The Chemistry Department designates the Planning, Staffing and Resources (PSR) Committee as the peer faculty review committee for post-tenure review. The PSR Committee consists of three tenured faculty members, serving staggered 3-year terms. Members are elected by the regular faculty of the Chemistry Department, normally with one new member elected each year. Nominations by the Department Chair or by any regular faculty member in the department are permitted. Special elections are held as needed for the replacement of any PSR Committee member who is unable to serve during some portion of his or her term of PSR committee service.

According to Section 7a of the *Faculty Tenure* and in accordance with Senate policy, all regular faculty members are subject to an annual merit review by the Chemistry Department Chair. The annual faculty performance reviews and merit evaluation for salary increases are carried out by the Department Chair in the spring of each year. It is the responsibility of each faculty member to provide the Chair with updated information on teaching, research and service contributions in the format requested and by the specified departmental deadline. The Chair will then schedule a private conference with each faculty member to discuss this information. If in the annual review the performance of a tenured faculty member is found to be substantially below the goals and expectations of the Chemistry Department, the Chair will refer that case to the PSR Committee. If the PSR agrees with the Chemistry Department Chair that performance is substantially below the goals and expectations of the Chemistry Department, the faculty member will be notified in writing of this result. The Department Chair and PSR Committee members will also provide the faculty member with a letter specifying the nature of the deficiencies and defining a time period of at least one year, during which time the faculty member must work to address the identified problems. If, at the end of this time period, both the PSR committee and the Department Chair continue to find that performance is substantially below the goals and expectations of the unit, the Dean will be asked to initiate a special review according to the procedures described in 7a.3 of the *Faculty Tenure*.

## VII. Procedures

### A. Tenure and/or Promotion Procedures

The Department of Chemistry complies with the as provided by Sections 7.4, 7.61 and 16.3 of the *Faculty Tenure*, except that statement (2) of Section 7.4 is modified for the Chemistry Department to read: “The decision is made by vote, by written secret ballot, at a meeting of the regular faculty who have indefinite tenure in the academic unit. An affirmative vote shall be at least a two thirds (2/3) majority of those voting.”

The procedure for all promotion and tenure decisions in the Chemistry Department is that two meetings of the faculty eligible to vote shall be held, with an interval of one to two weeks between the two meetings. At least one week prior to the first meeting, written materials relevant to the case shall be circulated to all faculty members eligible to vote. Outside letters that arrive after this date but before the vote is taken shall be distributed as they arrive. At the first meeting, a summary and analysis of the written materials shall be presented by the Tenure Committee, followed by general discussion. No vote will be taken at this meeting. The interval between the two meetings provides an opportunity to gather additional information based on the discussion at the first meeting. At the second meeting, discussion is continued, followed by a vote by written secret ballot. Absentee ballots by those eligible to vote are permitted only if they are received prior to the vote by those present.

### B. Procedures for the Annual Review of Probationary Faculty

In addition to the meetings at which promotion and tenure are considered, there will be an annual meeting of the tenured faculty to review the progress of all probationary faculty not being considered for promotion and/or in that year. A summary of progress for each probationary faculty member will be presented by the Tenure Committee. The presentation of each summary will be followed by general discussion. Based on this discussion and any other relevant information, the Chair may decide to initiate 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. Detailed written information relevant to that decision will be circulated to those eligible to vote at least two weeks prior to the meeting at which termination is considered. 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. A two thirds (2/3) majority of those voting 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.