University of Minnesota, Crookston

Departmental Standards for Promotion and Tenure
Required by Section 7.12, Board of Regents Policy—Faculty Tenure
Business Department
Approved by the faculty on August 19th, 2009
Approved by the Senior Vice President for Academic Affairs and Provost, October 10, 2009

I. Introduction

Reviews of faculty for promotion and tenure at the University of Minnesota, Crookston are conducted in accordance with all-University policies and procedures contained in the Board of Regents Policy on Faculty Tenure and the related documents, Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenure Faculty.

The purpose of this document is to describe with more specificity the indices and standards which will be used to evaluate whether candidates meet the general criteria in section 7.11 of the Faculty Tenure policy. The document also includes the indices and standards for promotion to the rank of professor as they are set out in section 9.2 of the same document, plus, the process for post-tenure review as set out in section 7a. For a complete perspective, the reader is advised to review sections 7 and 9 in their entirety.

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

- annual appraisals for probationary faculty
- recommendation for conferring indefinite tenure
- recommendation for promotion to Associate Professor
- recommendation for promotion to Professor
- post tenure review

II. Mission Statement

A. University of Minnesota, Crookston Mission Statement (May 2007)

The University of Minnesota, Crookston (UMC) is integral to the University’s statewide land grant mission. The Crookston campus provides its unique contribution through applied, career-oriented learning programs that combine theory, practice, and experimentation in a technologically rich environment. UMC connects its teaching, research, and outreach to serve the public good.

Core Values:
Integrity: Practicing honesty, fairness, and respect
Excellence: Supporting quality teaching, research, and service
Diversity: Respecting differences in ideas and community
Innovation: Promoting discovery through creative and critical thinking
Learner Centered: Promoting growth and leadership

B. Business Department Mission Statement (March, 2008):

The Business Department fosters intellectual curiosity and delivers exceptional baccalaureate career programs. We accomplish this through student-centered learning that incorporates technology, applied learning experiences, theory, research, and collaborative interactions with industries and communities throughout the world.

III. Annual Appraisals of Probationary Faculty

A. Annual Reviews

The tenured faculty of the Business Department annually reviews the progress of each probationary faculty member toward satisfaction of the criteria for receiving tenure as provided by the Board of Regents Policy—Faculty Tenure and in accordance with the University’s Procedures for Reviewing Candidates for Tenure and Promotion: Tenure-Track and Tenured Faculty.

B. Departmental Procedures

The tenured faculty members and the department head agree upon the due date for the annual review materials to be submitted by the probationary faculty. The review materials include:

- Narratives of the scholarly activities of the past year and plans for the next year; one each for teaching, research and service
- An updated curriculum vitae that includes:
  - a list of all courses taught since the initial year of appointment
  - a list of past (accepted and declined), current, and pending proposals, with the award amounts, and a description of the role the probationary faculty played in the grant and authorship
  - a list of publications (published, in press, and submitted, manuscripts in preparation) with an explanation of the role of the probationary faculty
  - a list of presentations at professional meetings, invited symposia, and workshops, public lectures, including those declined
- a list of service activities, including departmental or university committees, service in professional organization, manuscript or proposal review
- numerical and narrative summaries of teaching evaluations of the courses taught during the previous years
  - student evaluations
  - peer evaluations
  - and other relevant evaluations relative to teaching performance
- current syllabi
- any other material considered by the committee or department head as relevant for the evaluation
The materials are evaluated by the Department Promotion and Tenure Committee, which includes all the tenured members of the department, including the department head, who discuss the merits of the probationary faculty’s file and vote for or against continuation. The department head prepares a written report of the committee’s discussion and the vote. A meeting is held with the department head, and the individual probationary faculty member. The written report is the basis for the annual report filed on probationary faculty, the Form 12.

C. Section 5.5 of the Tenure Code--Exception for New Parent Or Caregiver, Or For Personal Medical Reasons (stopping the tenure clock).

A probationary faculty member may request that the probationary period to be extended by one year at a time. Circumstances and timelines for an extension are found in section 5.5 of the tenure code. The record of a probationary faculty member who received an extension is to be considered in the same way as a record of one who did not receive an extension. (see Section 5.5 of Faculty Tenure 2007 – Exception for New Parent or Caregiver, Or For Personal Medical Reasons in A).

IV. Conferral of Indefinite Tenure

Board of Regents Policy – Faculty Tenure, Subsection 7.11, General Criteria, (June 2007)

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 and 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 show strong promise of his or achieving promotion to professor.

Board of Regents Policy - Departmental Criteria – Subsection 7.12

[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 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.

Board of Regents Policy – Faculty Tenure, Footnotes to Subsections 7.11 and 7.12

[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.

[6] “Departmental” refers to an academic department or its equivalent, such as division, institute, or unit.
The following criteria, listed in order of priority, shall guide members of the Business Department in tenure and promotion recommendations:

A. Teaching  
B. Research  
C. Service

The appropriateness of a candidate’s accomplishment is to be judged against departmental criteria which meets the threshold criteria of Section 7.11. The faculty member and the department head shall jointly establish written work expectations, which will constitute the primary basis for the academic review. In making decisions about tenure, judgments of quality will be given consideration so as not to be biased by reduced expectation in quantity.

A. Teaching

Teaching includes activities that engender learning and are directed toward goals specified in courses, curricula or programs, designed to aid students to gain appropriate knowledge and competencies in a given area of endeavor. Teaching includes all forms of communicating knowledge and facilitating learning in an instructional setting, including advising, mentoring or supervising students whether individually or in groups.

Effectiveness of teaching should be the prime consideration, not the mere fact that the activities took place. “Effective” means that a candidate facilitates the intended result of student learning. Specifically, candidates must demonstrate appropriate course content and expertise 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 methods that facilitate learning in a respectful environment. Assessment refers to the use of appropriate tools and procedures for evaluating student learning.

Evaluation of probationary faculty will include appraisal of teaching materials, including but not limited to syllabi, lecture notes, laboratory exercises, course web sites, material covered, assignments, assessment tools, examinations, classroom performance, and advising materials. There must be evidence of student achievement acceptable to the department.

There must be evidence of the candidate’s planning and evaluating of his or her teaching. Student and peer evaluations must be included. Senior faculty will provide constructive feedback on teaching, including but not limited to classroom visits. There will be external evaluations of teaching materials.
Evaluation criteria

a. **Relevance.** How well do the instructional activities identify objectives, utilize appropriate subject matter sequences, integrate appropriate technology, consider student differences, and employ appropriate materials and media?

b. **Implementation.** How well does the faculty create, sequence, and present experiences that lead to student learning? Does the assessment of student learning, including appropriate grading practices, appear to be appropriate?

c. **Evaluation.** How well did the educational experiences do what they were designed to accomplish?

Documentation

Evidence may include 1) current syllabi, 2) summaries of the standard Student Ratings of Teaching of all sections of all courses taught during previous years, 3) letters from former students evaluating teaching and learning, 4) peer evaluations of teaching, 5) student portfolios, results of standardized tests of learning, or embedded questions results that demonstrate student learning, and 6) other forms as appropriate. It may be assessed by materials submitted by the faculty member or collected by colleagues. As indicated in Section 12 of the Procedures, the candidate has the right to inspect all materials in the file and to submit written comments relative to the file.

B. Research

Research is meant to include the broadest range of scholarly activities relevant to the mission of the department and campus. The University of Minnesota, Crookston provides a unique contribution through applied, career-oriented learning programs that combine theory, practice, and experimentation in a technologically rich environment. Research may be basic or applied in nature. Applied research may involve the interpretation and or practical application of theories, laws, practices or artistic creations designed to supplement theoretical education. Research usually involves conceptualizing, planning, implementing, evaluating, and disseminating, the results of a project, artistic creation, or the development of a new procedure. Results of research can include scholarly publications or educational products such as devices, procedures, instructional materials, and systems, which are developed to solve educational problems. Examples of dissemination might include publications or presentations to professional or educational organizations, governmental agencies and public or private groups; advising groups in the establishment of professionally or educationally sound practices or programs. Documentation which provides evidence of dissemination should be included in the faculty personnel file. The research may be documented in any appropriate form.
Related to this scholarly activity is the expectation to keep abreast with the appropriate discipline including reading the professional literature. This may also include reviewing papers, books, or other materials, and the development of grant applications.

When considering the record of probationary faculty who have stopped the tenure clock or who are being considered for early promotion, criteria for promotion and tenure are no different than the criteria for those who do not have an extension to the tenure clock or who are not being considered for early promotion.

**Evaluation criteria:**

a. **Relevance.** When directed toward teaching and learning, what is the prospect that these accomplishments could make a difference in the practice of education or in the assumptions on which the practice of education is based? If directed toward a subject matter topic, what is the prospect that the accomplishment will make a significant contribution to the existing body of knowledge?

b. **Quality.** How well do the accomplishments focus on central questions, issues, or decisions that yield broad, enduring understanding?

c. **Cumulative Effect.** How well do accomplishments build on previous work?

**Documentation**

Evidence of excellence in research is provided by the candidate's research performance, and/or publication record. This record is assessed both internally, by the department, the campus, and the University of Minnesota and externally, by recognized experts from outside the University, to determine whether it is openly available, scholarly, creative, and whether it is of high quality and significance. The following points guide the assessment of the candidate's record:

1. Scholarly works can take many forms; examples are presentations of a professional nature, original research articles and books, book chapters, edited collections and anthologies, reviews, integrative text books that advance the discipline, published lectures, as well as artistic productions and creations.

2. Peer-reviewed publications or works printed by publishers known for their careful editorial 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.

3. A written work is considered to be published when the final revised manuscript has been accepted by the publisher.

4. Work under review receives less weight than published or completed work.
5. Translations, reprints, and citations or reviews of a candidate's work may provide evidence of the visibility, importance, or influence of the work.

6. For all multi-authored or collaborative works, the file must specifically describe the candidate's contribution. It is understood that in some areas of the discipline, multi-authored works are common.

7. "Openly available" research implies distribution, which includes traditional and electronic publication as well as other media such as audio, video recording, and other sensory creative works.

8. While quality is more important than quantity, the candidate must present a file documenting the research achievements in the candidate’s areas of specialization.

C. Service

Since University community relationships are of concern, the contributions of faculty members in this area must be recognized. This includes, service to the University and professional service based on one’s academic expertise provided to the profession or to the local, state, national, or international community. A faculty member’s contribution to a related professional association is important. These contributions may involve such activities as advising or serving in professional associations, governmental agencies, other public or private institutions, and community groups. Institutional service may be administrative, committee, or other related contributions to one’s department, unit, or the University. Any contribution will be judged relevant when the faculty member is acting as a professional. Service alone is not a sufficient basis for the awarding of tenure.

Evaluation criteria:

   a. Relevance. Did the service activities contribute to the overall functioning of the department and University, the enhancement of academic programs, or the professional development of the faculty member?

   b. Mission enhancement. Did the individual contribute to the environment conducive to achieving the mission of the college and the University?

   c. Community relations. Did the involvement of the faculty member contribute positively to community – local and regional – relations and the image of the University that would be appropriate for the land grant institution?

Documentation may include letters of reference or evaluation relevant to the service provided. It may be assessed by materials submitted by the faculty member or collected by colleagues.
V. Promotion

Promotion consideration is given to those who request it or who are recommended by the Department Head or by the faculty senior in rank to the candidate. The candidate wishing to be considered should inform the Department Head and/or the Department Promotion and Tenure Chair, but the faculty senior in rank will decide when to conduct the review. The Department will hold promotion consideration meetings independent of the tenure review meetings. Consideration of promotion is mandatory when tenure is recommended for assistant professor.

Peer reviews at any level are expected to be from recognized individuals within appropriate disciplines and from individuals who can properly assess the candidate’s professional contributions. These reviews will appear in the file in the form of letters which provide evaluative measures of an individual’s performance in any of the areas of teaching, research, and service.

A. Evaluation Criteria for Promotion from Assistant Professor to Associate Professor

Promotion to this rank is concomitant with a decision to award tenure. Standards for tenure are set forth in Section IV above.

B. Evaluation Criteria for Promotion from Associate Professor to Full Professor

Section 9.2 Criteria for Promotion and Tenure. [Regents Policy on Faculty Tenure]

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.
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 teaching, research, and service, the criteria addressed at the associate professor level must be continued with consistent performance in both quantity and quality while indicating significant growth and improvement where appropriate.

In addition to criteria used for associate professor appointments, evidence will include:

a. Letters from experts that acknowledge the candidate’s scholarship and teaching performance.

b. A reputation demonstrated by invitations to industry related events, seminars, conferences, and/or professional organizations.

c. A national or international scholarly reputation in the individual’s field of study.

VI. Post-Tenure Review

All tenured faculty are evaluated annually during merit review. In addition, a separate post-tenure review process for tenured faculty is in place. Goals and expectations for all tenured faculty members should include teaching, research, and service. The faculty member and the department head shall jointly establish work expectations which will constitute the primary basis for the department review. Expectations vary for different individuals and may change for an individual as her or his career develops (Rules and Procedures for Annual and Special Post-Tenure Review, University/Faculty Senate Tenure Subcommittee, March 5, 1998).

A. Goals and Expectations

All faculty members are evaluated annually during merit review. In addition, a separate process for post-tenure review of tenured faculty is required by Section 7a of the Regents Policy on Faculty Tenure. Goals and expectations for all tenured faculty members should parallel those used in the granting of tenure and include teaching, research, and service. The following are examples in each area. It is expected that a faculty member will meet
at least one of these measures from each of the areas (teaching, research, and service) biannually.

- **Teaching:**
  - Positive student ratings demonstrating that faculty are prepared for class, provide clear instruction, provide feedback to students, show respect for students and facilitate student learning
  - Peer reviews of instruction including positive classroom observations, review of syllabi, instructional materials, student performance, and teaching effectiveness
  - Implementation of curricular changes by creating new courses, changes to majors/minors, laboratories, service learning etc.
  - Develop new courses or new programs
  - Develop instructional materials

- **Research:**
  - Publish a peer-reviewed article, non-peer reviewed article, book chapter, book, professional report etc. or submit one of these for publication
  - Present a paper or poster at a state, regional or national meeting
  - Exhibit materials or artistic creations at a show or meeting
  - Publish a curriculum guide
  - Submit a grant proposal
  - Review a book or journal article
  - Develop and publish educational products
  - Develop new uses of technology or methodologies in teaching and disseminate these for the public
  - Develop and publish on-line course materials

- **Service:**
  - Serve on department or campus committee
  - Serve in a professional association
  - Serve as an advisor to a student organization
  - Provide professional service in a community organization

The goals and expectations may provide for flexibility, allowing faculty the opportunity to contribute to one mission of the unit more than another; these may also take into account the different stages of professional development of a faculty member. A unit head and a faculty member may agree on a distribution of effort in which one area is weighted more heavily than another relative to the unit statement of goals and expectations.
B. Procedures for Post-Tenure Review

An annual review of the performance of the jointly (faculty member, and unit head) established work expectations of each faculty member is conducted by the Business Department Head. Each faculty member submits the Faculty Accomplishment form to the Department Head for use in the annual review. The department head provides the faculty member with written feedback from the annual review.

The Department Head may ask the Department Promotion and Tenure Committee to elect an ad hoc Faculty Post-Tenure Review Committee to review a faculty member whose performance is “substantially below the goals and expectations of the department” for two consecutive years. The Review Committee consists of five tenured faculty who are elected from the department, preferably representing the different areas within the department. Department heads may not serve on the committee. If there are fewer than five tenured faculty in the department, then tenured faculty from other departments are to be elected to serve by a majority of the Business Department Promotion and Tenure Committee working in consultation with the Vice Chancellor for Academic Affairs. Faculty are elected to serve on the Review Committee for three years or until the review is completed.

If the Faculty Post-Tenure Review Committee concurs with the Department Head’s finding that a faculty member’s performance is “substantially below the goals and expectations of the unit,” they must send a letter or memorandum to the faculty member, stating the findings. The letter must be signed both by the Department Head and by the chair of the committee, must specify the deficiencies and must set a time period (usually a period of one to three years but no less than one year from the date of the letter to the faculty member) during which the faculty member is to address the identified problems. The faculty member may communicate in writing to the committee chair relevant information to dispute the committee’s judgment. The committee chair will also meet individually with the faculty member whose work is alleged to be substandard to discuss means of improving performance to acceptable levels. There must be a written record of that meeting. The department head shall document efforts to support the faculty member’s performance during that time.

At the end of the specified time, both the Department Head and the elected Faculty Post-Tenure Review Committee will again review the performance of the faculty member under review. If they again find the performance of the faculty member “substantially below the goals and expectations of the unit,” they can ask the Vice Chancellor for Academic Affairs to initiate a special review. To do so, they should send a letter or memorandum to the Vice Chancellor for Academic Affairs and to the faculty member, setting out their findings with a copy of the documents they have reviewed.

Section 7a.3 of the Tenure Code specifies the process for a Special Peer Review in Cases of Alleged Substandard Performance By Tenured Faculty.
Appendix A Regents Policy on *Faculty Tenure* – Section 5.5

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.