Standards for Promotion and Tenure
Required by Section 7.12, Regents Policy on Faculty Tenure
Department of English, College of Liberal Arts

Approved by the Faculty of the Department of English on October 14, 2014
Approved by the Senior Vice President for Academic Affairs and Provost on October 20, 2014

I. Introductory Statement

This document is intended to specify the indices and standards to be used by the Department of English 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 University of Minnesota 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 9.2 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 mission of the Department of English is to produce and disseminate original scholarship and creative writing; to foster student learning and professionalization through effective teaching and advising; and to provide service to the department, the college, the University, the profession, and the community.

Collectively, the work of the faculty covers a broad range of fields including literature, language, aesthetics, creative writing, speech and other oral forms, print and electronic media, film and other visual modes, drama and other performance genres, and the critical, historical, and cultural literatures that inform these fields of study. This work may be individual or collaborative, disciplinary or interdisciplinary, national or international, purely academic or publicly engaged.

III. Annual Reviews of Probationary Faculty

The tenured faculty of the Department of English 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 University of Minnesota (UM) Form 12 and is signed by the candidate, the chair of the department, the dean of the College of Liberal Arts (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/adoptive leave, 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 [FN2]. This determination is reached through a qualitative evaluation of the candidate's record of scholarly research or other creative work, teaching, and service [FN3]. The relative importance of these criteria may vary in different academic units, but each of the criteria must be considered in every decision [FN4]. 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

[FN2] "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.

[FN3] 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.

[FN4] 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 – Scholarship and Creative Writing

Candidates for indefinite tenure must have established a distinguished record in scholarship and/or creative writing and show evidence of continuing academic distinction. (All probationary assistant professors are promoted to the rank of associate professor when they receive indefinite tenure; tenure may be conferred on an associate professor with a probationary appointment. See section 6 of the Regents Policy on Faculty Tenure.)

A “distinguished” record is prominent and conspicuous by its excellence. To achieve this standard, a candidate must produce a body of scholarship and/or creative writing that is openly available, of high quality, and visible in the scholarly or artistic field. Such work may appear in traditional publication formats (books, articles, chapters) and also in other forms such as performances, exhibitions, audio-visual recordings, electronic venues, knowledge transfers, and societal applications. The quality of the scholarship or creative writing is more important than the quantity.

Documentation

A candidate’s scholarship or creative writing may take many forms. The forms of print publications include (a) authored and co-authored books, articles, and book chapters, (b) edited and co-edited collections and anthologies, (c) critical editions and translations, (d) reviews, (e) integrative text books that advance the discipline, and (f) published lectures. Non-print forms include, but are not limited to, exhibitions, performances, audio or video recordings, and electronic venues. Whatever the forms, the candidate for tenure must establish the quality, productivity, visibility, and promise of his/her work.

(A) Evidence of high quality: This evidence is provided by the candidate's record of scholarship and/or creative writing. It is assessed both internally, by the department and the college, and externally, by letters from recognized experts outside the University, to determine whether the scholarship or creative writing is of high quality and importance in its particular field(s). (See the Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and
Tenured Faculty for details about external reviewers.). In determining the high quality of scholarship or creative writing, the department uses the following criteria:

1. While quality is more important than quantity, the candidate must present a substantial body of achievement.
2. Peer-reviewed publications generally will receive greater weight than publications that are not peer-reviewed. Work published by prestigious presses and journals, work appearing in prominent book series, collections, and other venues, and/or work undergoing stringent peer review will receive the most weight.
3. Work under review may be considered but cannot be the sole body of scholarship or creative writing considered; this category receives less weight than published or completed work.
4. Translations, reprints, and citations or reviews of a candidate’s work may provide evidence of its visibility, importance, or influence in the field.
5. For all multi-authored or collaborative works, the file must specifically describe the candidate's contribution.

(B) Evidence of “open availability”: The definition of “open availability” is as follows:

1. A work that will appear in print (book, article, chapter, edition, or review) is considered to be published when it is under contract with and in production by the publisher. The candidate must supply (a) contract material, (b) the finished manuscript or the page proofs, and (c) a written confirmation from the publisher supplying an approximate date when it will appear.
2. A work that will appear electronically is considered to be published at its first appearance on the internet, or a website, or as an audio or video recording.
3. An exhibition is considered to be openly available when it is presented to its audience; and an artistic performance is considered to be openly available at its first performance for its audience.

(C) Evidence of visibility: This evidence is provided through documentation of one or more achievements as exemplified by, but not limited to, the following:

1. Receipt of fellowships, awards, and honors for scholarly or creative work
2. Receipt of external and internal funding for scholarly or creative work
3. Presentations at scholarly and/or creative conferences, performances, or exhibitions (especially refereed or invited presentations)
4. Service as editor of national or international scholarly and/or creative journal
5. Service on an editorial board, scholarly and/or arts organization board, or board of a foundation that supports scholarly research or artistic creation
6. Service as referee for book and journal submissions, grant proposals, and scholarly and/or creative awards
7. Organization of scholarly and/or creative conferences, symposia, or workshops
8. Based on scholarly and/or creative expertise, interviews given to the media and service as a consultant to organizations

(D) Indications of promise: Indicators of a strong future record are the following:
1. Scope, impact, or influence of past and current achievements
2. Continuing growth in significant scholarly or artistic work

VI. Departmental Criteria for Tenure – Teaching

Candidates for indefinite tenure must be effective teachers who foster and enhance student learning about language and literature as broadly conceived by the department. Specifically, candidates will teach required, elective, and specialized courses at the undergraduate and graduate levels; these courses will be informed by the relevant scholarly or artistic literatures (or materials) in the field.

Teaching is not limited to classroom instruction. It includes other forms of communicating knowledge and providing guidance such as co-advisor or mentor to graduate students; committee member for MFA theses and defenses and/or PhD preliminary examinations and dissertations; participant in graduate-student research groups, job placement, and TA teaching observation; advisor or committee member for MA Plan B papers; director of undergraduate UROP projects; advisor for senior papers and honors projects; active participation in undergraduate events; instructor of directed study and independent study; and contributor to curriculum development (individually or on committee).

Documentation

Evidence of effective teaching: This evidence is provided through such documentation as:

1. Course syllabi and other course materials
2. Original student evaluations of teaching with written student comments, and Student Rating of Teaching scores relative to department norms for the specific course
3. Evaluations by peers: The candidate must provide recent peer evaluations of teaching from at least two tenured professors who have observed two different courses. When applicable, these should be one undergraduate and one graduate course.
4. Letters in support of teaching obtained from undergraduate and graduate students once they have graduated
5. Evidence of contributions to curriculum development such as designing new courses, substantively revising existing courses, introducing new technologies, and/or revising undergraduate major and minor sequences. These contributions may be made individually or as a member of committees devoted to curriculum development and assessment.
6. Evidence of effective advising and mentoring of undergraduate students in such activities as participation in senior papers and UROP projects, directed and independent study, honors theses, and undergraduate events
7. Evidence of effective advising and mentoring of graduate students through participation in and directing of MA Plan B papers and Masters theses, MFA theses and defenses, PhD preliminary examinations, dissertations, graduate-student research groups, graduate-student professionalization and job placement, and TA teaching observations
8. Receipt of teaching awards and other formal recognitions of teaching excellence
9. Contribution to the teaching mission of the department such as serving as Director of Undergraduate Studies, Director of Creative Writing, and Director of Graduate Studies
(Note: The department almost never asks untenured assistant professors to take on these roles)

10. Serving as leader of teaching and professional development workshops in the department, University, or profession

11. Receipt of grants for curriculum development or preparation of instructional materials

NOTE on Prior Teaching/Advising: Candidates for tenure who have previously served in regular faculty positions at accredited universities elsewhere and who have received a reduction of the maximum period of probationary service at the University of Minnesota should provide as much documentation of teaching and advising from those previous institutions as possible. This documentation will be considered but will not carry the same weight as documentation of activities here at the University.

VII. Departmental Criteria for Tenure – Service

“Service” means that faculty as University citizens actively participate in advancing the interests of the department, the college and the University for the benefit of the institution, the profession and the community. Attendance at department faculty meetings and active participation on assigned department committees are required. Beyond that, service to the department, the college, the University and the profession is an integral component of a faculty member’s professional obligation. A candidate’s participation in the governance of the department, in service to the college and University, and in service to professional organizations and to communities related to his/her research enhances his/her professional standing and brings recognition to the department, the college, and the University. Service is recognized as a significant contribution by faculty and is considered during tenure deliberations.

Documentation

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

1. Participation on departmental, college, and University committees
2. Administrative appointments in the department, college, and the University
3. Active participation in department, college, and University conferences or symposia
4. Participation in faculty searches, student outreach (such as graduate student recruitment events), and other department activities

(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 state and national organizations of recognized excellence within the field
3. Referee for professional publications
4. Reviewer for grant or fellowship applications
5. Reviewer or juror for exhibitions or performances
6. Consultant to professional associations and cultural organizations

(C) Examples of service to the community include but are not limited to:
1. Outreach to K-12 schools and colleges
2. Consultant to non-profit organizations and government agencies
3. Intellectual and artistic contributions to the community
4. Development of, or participation in, various 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 [FN7]. This determination is reached through a qualitative evaluation of the candidate's record of scholarly research or other creative work, teaching, and service [FN8]. 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

[FN7] "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.

[FN8] 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. Promotion to this rank is based on attaining a national or international scholarly reputation through significant publication and/or creative achievements in the candidate’s area(s) of specialization, continued effective teaching and contributions to instruction, and continued effective service to the department, the college, the University, and the profession. 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 and artistic work, teaching, and service, is required. Regular, high-quality teaching and advising of graduate students (MA, MFA, and PhD), in addition to undergraduate instruction and advising, are expected, and service contributions to the department, college, University, and profession should be substantial and significant.

X. Review of Tenured Faculty Performance

This section implements the University of Minnesota Regents policy on Faculty Tenure, section 7a, as well as the Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty.

Goals and Expectations for Tenured Faculty

In accordance with Section 7a.1 of the Regents Policy on Faculty Tenure, the Department of English has established goals and expectations for its tenured faculty that are similar to the criteria for promotion to associate professor with tenure and promotion to professor. Satisfactory performance in scholarly and/or creative work, teaching, and service is expected of all tenured faculty members.

Scholarship and/or Creative Writing: Tenured faculty members in the department are expected to continue publishing their scholarly and/or creative work in prominent venues; to advance their programs in these areas; and to maintain or enhance their national/international recognition by producing work that has significant impact on or influence in the field. Satisfactory performance in scholarly or creative work may also be evidenced by accomplishments such as the following:

1. Presentation of work at national or international conferences and at external public lectures, readings, performances, or exhibitions (especially invited or refereed)
2. Active engagement in one or more scholarly and/or creative programs in collaboration with other experts in the field(s)
3. Receipt of national or international awards for scholarly and/or creative work
4. Receipt of external fellowships, visiting professorships, or grants for scholarly and/or creative work
5. Editorships at national or international journals and of presses’ book series
6. Significant forms of public engagement that draw on scholarly and/or creative expertise (e.g., chairing a public issue symposium, active participation in a community literacy program, writing op-ed columns for a newspaper or electronic medium, hosting a radio show series)

Teaching and Advising: Tenured faculty members are also 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. Satisfactory performance in teaching and advising is understood to require the following:

1. Distribution of teaching among required, elective, and specialized courses at the undergraduate and graduate levels
2. Where appropriate, incorporation into courses of the tenured faculty member’s expertise in scholarship or creative writing and the knowledges, methods, and techniques of the field(s) addressed by each course
3. Advising and mentoring undergraduate students through the formal benchmarks of their education—for example, advising senior papers and projects, advising undergraduate research projects
4. Advising and mentoring graduate students through the formal benchmarks of their education— for example, serving on graduate student examining committees, working with graduate-student research groups, and participating in TA teaching observations and job placement activities

Service: Tenured faculty members are also expected to participate actively in service to of the department, the college, the University, and the profession or community. Attendance at department faculty meetings and active participation on assigned department committees are required. Satisfactory performance in service includes the following:

1. Regular and effective contribution to the governance and administration of the department, college, and University
2. Other service – defined as some combination of service to the college, the University, the profession, and the community – should be substantial in the aggregate

Annual Post-Tenure Review Process

The department expects that its tenured faculty will be regularly active in all three areas: scholarly and/or creative work, teaching, and service. But it also recognizes the effort and productivity may not at all times be distributed equally among these three areas. For example, a tenured faculty member may be putting more effort into completing a book for a publication deadline during an academic year than into service, or may be putting more effort into chairing the department for a three-year term than into scholarly and/or creative publication. Thus a tenured faculty member’s effort and productivity should be viewed as a whole across the three areas of activity for the period under review.

In accordance with Section 7a.2 of the Regents Policy on Faculty Tenure and the policy document Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty, section VI, if both the chair and the full professors serving on the Merit Review Committee find that a faculty member's performance falls below the goals and expectations in one or more of these areas, they will inform the faculty member in a letter of the deficiencies in performance and also recommend steps to be taken toward meeting the department's goals and expectations for performance. The chair will meet with the faculty member to discuss the deficiencies and the steps; the faculty member may suggest modifications to the steps.
The period for improvement will be at least one full academic year following the date of the letter to the tenured faculty member. At the end of the specified period, the faculty member will submit a report describing her/his progress toward meeting the department’s goals and expectations. The chair and the full professors serving on the Merit Review Committee will then review the progress made by the faculty member regarding the recommendations for improving her/his performance.

In accordance with Section 7a.3 of the Regents Policy Faculty Tenure, if, at the end of the time period described in the previous paragraph, the tenured faculty member continues to perform substantially below the department’s goals and expectations and has not sufficiently improved her/his performance, the chair and the full professors serving on the Merit Review Committee may jointly request that the dean initiate a special peer review of that faculty member.

**Special Post-Tenure Peer Review Process**

The special peer review of a tenured faculty member at the dean’s level follows the process outlined in the policy document *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty*, section VI.C.

**Appendix A – Section 5.5 of the Regents Policy on Faculty Tenure**

5.5 **Extension of Maximum Probationary Period For New Parent Or Caregiver, Or For Personal Medical Reasons.**

Upon the written request of a probationary faculty member, the maximum period of that faculty member’s probationary service will be extended by one year at a time for each request:

(a) On the occasion of the birth of the faculty member's child or placement of an adoptive/foster child with the faculty member. Such a request for extension will be granted automatically if the faculty member notifies the chair, dean, and senior vice president for academic affairs and provost in writing that the faculty member is eligible for an extension under subsection 5.5 because of the birth or adoption/foster placement. (“Child” includes a biological child, an adopted or foster child, and the child of a spouse or domestic partner.)

(b) If the faculty member is a major caregiver for a family member with an extended serious illness, injury, or debilitating condition and the senior vice president for academic affairs and provost determines that the circumstances have had or are likely to have a substantial negative impact on the faculty member’s ability to work over an extended period of time. (“Family member” means a faculty member’s spouse or domestic partner, child, or other relative.)

(c) If the faculty member has an extended serious illness, injury, or debilitating condition, and senior vice president for academic affairs and provost determines that the circumstances have had or are likely to have a substantial negative impact on the faculty member’s ability to work over an extended period of time. If the faculty member’s illness, injury, or debilitating condition
reduces the faculty member’s ability to work to less than two-thirds time during the faculty member’s contract year [i.e., the academic year or twelve months], the probationary period is automatically extended by one year in accordance with subsection 5.3.

The probationary period may be extended for no more than three years total, except that the extension may be for no more than one year total for (1) an instructor with a probationary appointment under subsection 6.22 or (2) an associate professor or professor with a three-year probationary appointment under subsection 6.21.

The notification of birth or adoption/foster placement for provision (a) and the request for extension for provisions (b) and (c) in this subsection 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.

A request for an extension under provision (b) or (c) will not be denied without first providing the faculty member making the request with an opportunity to discuss the request in a meeting with an administrator designated by the senior vice president for academic affairs and provost. A claim that a request for an extension under provision (b) or (c) was improperly denied may be considered in any subsequent review by the Senate Judicial Committee of a termination under subsection 7.7.

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

6.12 Departmental Statement. [FN5] 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. [INTERP 3]

[FN 5] “Departmental” refers to an academic department or its equivalent, such as division, institute, or unit.


The faculty of an academic unit are expected to periodically review their criteria for awarding indefinite tenure and for promotion in rank and reflect any new criteria in a revision of their subsection 7.12 Statement. The new criteria and subsection 7.12 Statement must be adopted in accordance the established procedures of the University, after consultation as required by those procedures. Current probationary faculty in the unit may
elect to be evaluated on the criteria for tenure and promotion in the previous subsection 7.12 Statement or on the new criteria. This option is also available to current tenured faculty in their evaluation for promotion to the next level. Probationary or tenured faculty must make this decision within one year of the date of administrative approval of the new criteria.