

UMD Department of Finance and Management Information Sciences
Indices and Standards for Tenure and Promotion to Professor as Required by Section 7.12 of the
Board of Regents Policy on Faculty Tenure (June 10, 2011) and
Indices and Standards for Promotion to Associate Professor
Approved by the Faculty on April 2, 2010
Approved by Dean on June 4, 2010
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I. Introduction

This document describes with more specificity the indices and standards that will be used to determine whether candidates meet

- the general criteria for tenure as described in Section 7.11 (Appendix 1) of the *Board of Regents Policy on Faculty Tenure* (June 10, 2011), with revisions noted in the *Tenure Code Application to the University Education Association (UEA) Contracts*.
- the general criteria for promotion to associate professor and
- the general criteria for promotion to professor as described in Section 9.2 (Appendix 2) of the *Board of Regents Policy on Faculty Tenure* (June 10, 2011) with revisions noted in the *Tenure Code Application to the UEA Contracts*.

II. Departmental Mission

The Department of Finance and Management Information Sciences contributes to the broad teaching, research, and service responsibilities to which the LSBE and the University of Minnesota Duluth campus are dedicated as part of the total University of Minnesota system. The Department recognizes the offering of quality undergraduate instructional programs as its primary mission. This mission is to provide students with the broad professional and cultural education necessary for leadership in either the private or public sector. Quality of teaching is the most important factor in maintaining and improving the climate for learning in the Department, while research, publication, and service activities also contribute.

It is recognized that the primary thrust of the Department probably will remain oriented to undergraduate teaching. Ph.D. degrees are not granted; therefore, faculty stimulation traceable to working with Ph.D. candidate is lacking. Teaching loads and undergraduate advising will probably continue to be larger than those at more research-oriented institutions. Evaluation criteria and standards within the Department relate to the mission of the Department.

III. Criteria for Tenure

The general criteria for awarding indefinite tenure are stated in Section 7.11 (Appendix 1) of the *Board of Regents Policy on Faculty Tenure* (June 10, 2011) and with revisions noted in the *Tenure Code Application to the UEA Contracts*. The present document provides information that relates specifically to the indices and standards and to the evidence required to demonstrate that each criterion has been met. It should be noted that the criteria and evidence spelled out here apply to decisions regarding promotion, as well as tenure. Recommendations regarding granting tenure, like all other evaluation decisions, begin at the department level. The granting of tenure is completed only when

confirmed by the Board of Regents. Because of the importance of tenure decisions, it is crucial that all steps be taken deliberately and reflectively, with sufficient time for judgment to mature, and for the candidate's record to be firmly established.

The procedures outlined in the following paragraphs are designed to ensure, insofar as possible, that determinations be made carefully thoughtfully, and on the basis of the best evidence available. Each of the three basic areas is discussed within the framework of the University rules and regulation and the mission and needs of the Department.

All regular faculty members are expected to demonstrate effectiveness in teaching, scholarly productivity, and achievements in service. The question of the relative importance of each of the three areas must be considered. In all circumstances teaching and scholarship are given substantially greater weight than service. However, at the same time, teaching and advisement loads as well as other factors unique to each individual must be considered in justice and fairness to faculty members who are being evaluated. A candidate may be evaluated on a somewhat different weighting than was applied in another case. Thus, individual contribution can be recognized as appropriate. The total contribution of the individual to the University, including interdisciplinary work, public engagement, international activities and initiatives, attention to questions of diversity, technology transfer, and other special professional activities by the individual should be factors to be considered, and with all factors considered, will govern the final evaluation. Continuous personal development through participation in professional development opportunities in all three domains is expected and encouraged.

Individuals receiving a regular appointment at the rank of assistant professor upon completion of the earned doctorate who have no prior service toward tenure must establish an acceptable record of performance and achievement during their first six years of service. Assistant professors can expect to receive tenure by meeting the standards for performance for promotion to the rank of associate professor. Only under the most unusual circumstances will an assistant professor be recommended for tenure without also being recommended for promotion.

A. Teaching

Effective teaching is essential in achieving tenure. The utmost care and thought must be given to Departmental and School evaluation and documentation of the candidate's teaching merits. Each candidate will be reviewed by tenured colleagues at the rank of associate or full professor on such items as the candidate's teaching philosophy statement, course materials, outlines, readings, examinations, and any other items bearing upon the quality and effectiveness of the candidate's teaching.

The creative and innovative efforts of the candidate will be specifically assessed. Such efforts might include introducing new teaching methods, bringing research and case study results into the classroom where appropriate, discussing relevant journal materials and books. Classroom use of first-hand knowledge arising from consulting, special seminars, leaves, summer employment or other direct associations with the practical operation of knowledge in the candidate's area of specialization could be another indication of innovative effort.

In addition, information gained from student evaluations of teaching activities, as well as other solicited or unsolicited inputs, must be carefully reviewed and considered as appropriate. Student evaluations must be interpreted with great care and with knowledge that such evaluations may provide more useful information regarding teaching behaviors than overall teaching effectiveness. Teaching performances in both traditional and nontraditional settings must be evaluated. While the ability to

teach effectively in the noncredit continuing education setting is not as essential as the traditional setting, it is considered important. Each faculty member must expect to meet high standards of teaching. Faculty members must faithfully perform all the detailed duties of a teacher both inside and outside the classroom. Finally, to insure continued improvement in the overall quality of instruction with the School, faculty members must demonstrate teaching effectiveness that compares favorably with standards set in the individual field, Department and/or profession.

Advising is considered an integral part of one's teaching responsibilities. For effective advising to take place, the faculty member must create a welcoming environment for the advisees and be familiar with curricular requirements to assist advisees in planning their academic programs. While the ultimate responsibility for academic success rests with the student, the faculty advisor is expected to serve as a resource for assisting students in achieving their educational, career and personal goals. Assessment of advising effectiveness will be based upon a variety of factors.

B. Scholarly Productivity

Another essential requirement in achieving tenure is demonstrated capability in research or other scholarly and creative professional activities. Promotion and tenure require that the candidate has completed work that extends the frontiers of knowledge or that applies existing knowledge to practical situations in novel or insightful ways. The candidate's work must demonstrate construction of new combinations or ideas or analysis of data from primary or secondary sources to provide meaningful generalizations adding to or improving the state of the art and increasing the storehouse of existing knowledge. The candidate will submit a listing of all published materials (textbooks, journal articles, working papers, teaching materials and the like), evidence of successful completion of funded research, evidence of use of applied research to solve meaningful world problems, papers given at professional meetings, assignments as chairperson or as discussant at professional meetings, citations of previous work by other authors, and evidence of work in progress.

The Department is the basic unit in evaluation and is responsible for establishing and upholding standards of scholarly competence. In the judgment of the Department and others, the work in question must be important, valuable to some recognized audience because of its validity and application of scientific principles, and thus represent a contribution to the scholarly or practical world.

Consistent with LSBE's mission statement, scholarly research can be applied, basic and/or pedagogical in nature. Some research efforts may be ranked higher than others. The impact of the research in the profession or in application will be the ultimate criterion in determining the value and significance of the activity.

In some circumstances a scholarly contribution such as a funded project or grant which involves the granting agency's internal review may be regarded as equivalent to a peer-reviewed academic article if it carries a similar level of prestige and requires similar level of effort.

The department encourages collaboration, but the candidate must document his or her part of the contribution and the candidate's overall scholarly contribution record should show his or her comprehensive ability to engage in the research process. It is also expected that the bulk of candidate's published scholarly activity should be focused on and appearing in outlets within one's discipline.

The candidate must also demonstrate evidence of a continuous stream of scholarly activity and there must be evidence to suggest that such scholarly activity will continue after the granting of tenure and promotion to associate professor.

Finally, outside review of a candidate's scholarly output is considered essential and mandatory to add to the objectivity and reliability of internal evaluation.

C. Service

Faculty members are expected to contribute their specialized knowledge in the field of competence as well as generalized knowledge which originate from the fullness of experience to the Department, the School, the Campus, and the University. Each faculty member is expected to attend department meetings, participate in the School Senate, serve on committees, and otherwise contribute to the ongoing governance and decision-making process of the University. However, no member of the faculty is expected to provide services to committees within the University to the extent that this will interfere with teaching and research.

Likewise, each faculty member is expected to devote some professional time and effort to participating in appropriate professional activities within the community. For example, faculty members may serve on state or local government commissions, may be active in working with business and labor groups who are prospective future employers of the School's students or may share research and other professional areas of competence with the community through addresses and appearances on radio and television news or public service programs.

Faculty members are also expected to work toward improving their profession by actively participating in the professional organizations related to their areas of expertise. Indications of such participation are membership in professional organizations or associations and service as a leader (officer, committee chairperson, committee member) in such organizations. Participating as a presenter, discussion leader, session chairperson, a program planner or the like at meetings or conferences of professional organizations is further evidence of service to the faculty member's profession. In addition, honors awards, citations, and listing in professional registers are indications that one is recognized as a positive contributor to his or her profession.

Appraisal of service must be based on more than mere listing of the number of committee assignments. It must include indication of effort, leadership and contribution to the purposes of the service unit (e.g., committee, department etc.). Department colleagues will be responsible for establishing appropriate procedures to obtain relevant information to substantiate the quality of the candidate's service contribution. As a rough guide, an allocation of as much as 10%-20% of effort to service should be considered a maximum. Further involvement in service will not compensate for less than adequate performance in teaching or scholarly productivity.

IV. Criteria for Promotion

a. Promotion to Associate Professor

The criteria and expectations for promotion are the same as those stated above for tenure. To be promoted to associate professor, an individual must have an established record of effective teaching performance and presented substantive evidence of emerging professional distinction through recognition of scholarly accomplishment and potential among the individual's professional peers is required. A record or well-rounded professional service within and outside the University is expected. These attributes and accomplishments should be reflected in a pattern of consistent and emerging

behaviors over a period of time. Time-in-grade, taken in isolation from substantive criteria for promotion, is not considered a valid criterion.

b. Promotion to Professor

The general criteria for promotion to professor is described in Section 9.2 (Appendix 2) of the *Board of Regents Policy on Faculty Tenure* (June 10, 2011) with revisions noted in the *Tenure Code Application to the UEA Contracts*. The basis for promotion to the rank of professor is the determination that the 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 a national or international reputation (or both) ordinarily resulting from such distinction or achievement. This determination is reached through a qualitative evaluation of the candidate's record of teaching, scholarly research or other creative work and service. The question of the relative importance of each of the three areas must be considered. In all circumstances teaching and scholarship must be given primary emphasis; service alone cannot qualify the candidate for promotion. The total contribution of the individual to the University, including 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 factors to be considered, and will govern the final evaluation.

A. Teaching

The Department expects a sustained record of effective teaching in order to be considered for promotion to professor. Successful mentoring and advising of students are strong indicators of teaching excellence. Consideration will be given to courses taught, curricular developments, new courses designed, pedagogical innovations, evaluations by current students, advisees, and alumni, and accessibility to students. Demonstrated willingness to supervise Undergraduate Research Opportunity Programs (UROPs), and/or independent study projects and support of student organizations are also essential factors for consideration.

B. Scholarly Productivity

Consistent with the LSBE's mission statement, scholarly research can be applied, basic, and/or instructional development in nature. Consideration will be given to the type of work (e.g., cases, empirical, theoretical) and its quality, quantity, outlets, and impact. In terms of quantity and quality of published works, the level should be in general greater than that which was demonstrated to achieve promotion to the rank of Associate Professor within the Department. Although top quality research is valued, there are no expectations that a faculty member must publish in the top journals of the discipline in order to be promoted to professor. However, evidence of a continuous stream of scholarly activity since achieving the rank of Associate Professor versus work that is sporadic or of a flash-in-the-pan nature is essential. It is also important for the candidate to demonstrate that scholarly activity will continue after the promotion to professor.

C. Service

A candidate for promotion to professor is expected to demonstrate academic leadership in the Department. This leadership may include providing assistance and support to junior colleagues and/or being an active participant or taking on a leadership role on formal committees and sub-committees.

The service requirement includes service to the University and to the profession. This requirement can also include activities that increase the reputation and visibility of the University such as giving lectures at other institutions, providing interviews to the mass media, and giving speeches to community organizations. Service to the profession consists of activities such as refereeing manuscripts and/or grant proposals or organizing conference session. The nature of service is expected to vary sharply across individuals.

V. Procedures

The Department complies with the procedures for promotion and conferral of indefinite tenure set forth in Section 201.000 of the Collective Bargaining Agreement between the *Regents of the University of Minnesota and the University Education Association* that is in effect at the time of the promotion and tenure review and decision.

Appendix 1

Section 7.11 General Criteria (for tenure). 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 [2]. This determination is reached through a qualitative evaluation of the candidate's record of scholarly research or other creative work, teaching, and service [3]. The relative importance of these criteria may vary in different academic units, but each of the criteria must be considered in every decision [4]. 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.

[2] **“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.

[3] **“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.

[4] 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.

Appendix 2

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 [7]. This determination is reached through a qualitative evaluation of the candidate's record of scholarly research or other creative work, teaching, and service. 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.

[7] "**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.

References

1. Board of Regents Policy on Faculty Tenure (June 10, 2011)
2. Tenure Code Application to UEA Contracts
3. Collective Bargaining Agreement between the Regents of the University of Minnesota and the University Education Association.