

STATEMENT REQUIRED BY SECTION 7.12 OF THE REGULATIONS
CONCERNING FACULTY TENURE
FOR THE DEPARTMENT OF MARKETING

I. Introductory Statement

This document describes with more specificity the standards which will be used to evaluate whether candidates meet the general criteria in Section 7.11 of the Regulations Concerning Tenure Code as applicable to the faculty at the University of Minnesota Duluth (UMD). For a complete perspective, the reader is advised to review Section 7 in its entirety. See also the Labovitz School of Business and Economics Faculty Evaluation Policy (see attached), adopted by the School Senate on March 1, 1998, and amended May 3, 2005.

II. Departmental Mission Statement

The Department of Marketing contributes to the broad teaching, research, and service responsibilities to which the Labovitz School of Business and Economics and the UMD 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.

To accomplish this, the Department's goal is to achieve excellence in the creation and dissemination of knowledge in the field of marketing. Knowledge may be created and disseminated through several methods, but the quality of teaching and scholarly endeavors are the most important factors in maintaining and improving the climate for learning in the

Department, while service activities also contribute. For the foreseeable future, the primary thrust of the Department will remain orientated to undergraduate education, with a secondary emphasis on graduate (MBA) education.

Evaluation criteria and standards within the Department relate to both the mission of the Department and its initial appointment policy as stated in the Labovitz School of Business and Economics Faculty Evaluation Policy.

III. Criteria for Tenure

The basic criteria for tenure decisions are stated in Section 7.11 of the Regulations Concerning Faculty Tenure. This document provides information that relates specifically 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 (to Associate and Full professor), as well as to 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 expectations outlined in the following paragraphs are designed to insure, 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 regulations and the mission and needs of the Department.

All regular faculty members are expected to demonstrate excellence in teaching, scholarly productivity, and achievement 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. 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. The total contribution of the individual to the University, with all factors considered, will govern the final evaluation. Time-in-grade, taken in isolation from substantive criteria for promotion, is not considered a valid criterion. 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 outlined below. Only under the most unusual circumstances will an assistant professor be recommended for tenure without also being recommended for promotion.

A. Teaching Domain

Effective teaching is essential to achieving tenure. Each candidate will be reviewed by tenured colleagues at the rank of associate or full professor on such items as the candidate's statement of teaching philosophy, course materials, outlines, readings, examinations, and any other items having a bearing upon the quality and effectiveness of the candidate's teaching. It is the candidate's responsibility to document and make available these materials.

- Assessment of teaching effectiveness will be based on a variety of factors such as courses taught, curricular developments, pedagogical innovations, evaluations (by students,

advisees, peers, and alumni), and accessibility to students. A commitment to and passionate interest in teaching is expected as is excellence in one's advising responsibilities and relationships.

- 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, and discussing relevant journal materials.

B. Research (i.e., knowledge creation and dissemination) Domain

Another essential requirement for achieving tenure is demonstrated capability in research. Promotion and tenure requires that the candidate has completed work that extends the frontiers of knowledge or that applies knowledge to practical situations in novel or insightful ways.

- Consistent with LSBE's mission statement, scholarly research can be applied, basic, and/or instructional development in nature.
- The candidate will submit a listing of all published materials (e.g., textbooks, journal articles, working papers), evidence of successful completion of funded research, papers given at professional meetings, citations of work by other authors, and evidence of work in progress. Consideration will be given to the quality, quantity, and impact of the outlets in which a candidate's research work appears (e.g., acceptance rates, editorial boards). In terms of quantity, an average of one refereed journal article per year plus one other intellectual contribution (from categories A or B from the School's list of intellectual contributions) in their respective discipline per year for the years preceding application for promotion and tenure is expected.

- The candidate must demonstrate evidence of a continuous stream of scholarly activity as opposed to work that is sporadic or of a flash-in-the-pan nature. There must be evidence to suggest that scholarly activity will continue after the granting of tenure and promotion to Associate Professor (e.g., evidence of an active research program and a pipeline of scholarly activity.)
- Outside review of a candidate's scholarly output is considered essential and mandatory to add to the objectivity and reliability of the internal evaluation. The external reviewers should be individuals who are academically qualified within the candidate's discipline. The convener of the Departmental Promotion and Tenure Review committee has responsibility for the identification of outside reviewers and the solicitation of evaluative comments from them. It is understood that normally the selection of external reviewers will be done either in consultation with, or with the advice of the candidate. Several (usually five or six) outside reviewers will be utilized.
- The bulk of one's published scholarly activity should be focused on and appearing in outlets within one's discipline (Marketing).
- Finally, the candidate should show substantial evidence of emerging professional distinction as demonstrated by internal and external review of the candidate's scholarly work. Several factors can contribute to the subjective assessment of emerging professional distinction, such as:
 - Whether a candidate's work extends the frontiers of knowledge, applies existing knowledge to generate practical solutions, or combines existing/new ideas to add to the storehouse of existing knowledge.

- Whether a candidate's work is important and valuable to some recognized audience.

C. Service Domain

Candidates will be reviewed by tenured colleagues at the rank of associate or full professor on such items as their performance on committees, service engagements, and their contributions to the academy. In general, a candidate will be evaluated on the basis of:

- Demonstration of being a supportive and contributing colleague within the Department of Marketing, the Labovitz School of Business and Economics, and the campus such as providing service on an *ad hoc* basis, and being an active and willing participant on formal committees and subcommittees. Each faculty member is expected to attend department meetings, participate in the School Senate, serve on LSBE committees, and otherwise contribute to the ongoing governance and decision-making process of the School.
- Evidence demonstrating good citizenship (i.e., voluntary acts, which are intended to be positive/constructive in nature, and for which there is no evident *quid pro quo*) within the Department and the Labovitz School of Business and Economics.
- Evidence of community-oriented service.
- 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 and citations are indications that one is recognized as a positive contributor to his or her profession. In summary, faculty members are expected to serve by giving time and assistance within the realm of one's expertise to one's discipline, professional associations, and colleagues both within and outside the university.

- Appraisal of service must be based on more than a mere listing of the committee assignments. It should include indication of effort, leadership and contribution to the purposes of the service unit (e.g., committee, department, etc.).

IV. Promotion to Associate Professor

To be promoted to associate professor, an individual must have an established record of excellence in the domains of teaching, service and research. The expectations for promotion to associate professor are the same as those for tenure. A well-rounded portfolio is required. Exceptional performance in one domain does not compensate for lack of excellence in another domain.

V. Promotion to Full Professor

Associate Professors wishing to be promoted to the rank of Full Professor will be reviewed in each of the areas: teaching, research, and service. The promotion to Full Professor is regarded as more significant than the promotion from Instructor to Assistant Professor, and the promotion (exclusive of the separate tenure decision) from Assistant to Associate Professor. Under normal conditions, six years or more at the rank of Associate Professor will be needed to establish a sufficient record for promotion, yet the possibility exists for an unusual performance-

based exception to this six (6) year expectation. It should also be noted that while not all of the years at the rank of Associate Professor need to be served at the University of Minnesota Duluth, a reasonable time in rank within the Department of Marketing is necessary to thoroughly assess the credentials and performance of the faculty member.

Like the decisions to grant tenure and to promote to Associate Professor, the decision to recommend promotion to Full Professor is a reflection of the aggregated judgment of those who sit on the Promotion Review Committee at the time of the application, and their consideration of the criteria, standards, and performance expectations articulated below.

A. Teaching Domain

- Excellence in teaching. Consideration will be given to courses taught, curricular developments (e.g., new courses designed), pedagogical innovations, evaluations by current students, advisees, and alumni), and accessibility to students.
- A commitment to and passionate interest in teaching, primarily at the undergraduate level, along with support of graduate (MBA) level education.
- Excellence in one's advising responsibilities and relationships.
- Support of students and student organizations.
- A demonstrated willingness to supervise theses, UROPs, and/or independent study projects.

B. Research (i.e., intellectual contribution) Domain

- 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 at least equivalent to and, in general greater than that which was demonstrated to achieve promotion to the rank of Associate Professor within the Department. While both dimensions are critical, the quality of that which has been produced is of greater importance than the quantity. Although top quality research publishable in top journals is valued, there are no expectations that a faculty member must publish in his/her discipline's top two or three journals in order to get promoted to full professor.
- Some of the candidate's work must be judged as having advanced the discipline through empirical, theoretical, and/or conceptual (e.g., interpretative, integrative) contributions.
- Evidence of a 'continuous stream of scholarly activity' (e.g., publication of one's scholarly works) since achieving the rank of Associate Professor versus work that is 'sporadic' or of a 'flash-in-the pan' nature.
- The bulk of one's published scholarly activity should be focused on and appearing in outlets within one's discipline (Marketing). In addition, the candidate should have achieved 'professional distinction' (i.e., made contributions to the literature that are judged as having 'made a difference,' one indication of which might be the frequency with which those works are cited in the work of others and/or applied in professional practice).
- Indications that scholarly activity will continue after the promotion to Full Professor (e.g., evidence of an active research program and a pipeline of scholarly activity).

The following questions are illustrative of the criteria discussed above. They provide examples of the types of metrics that are to be used in making judgments about an individual's scholarly work, their impact, and the promotability of an individual to the rank of Full Professor.

- Does the work provide utility to practitioners?
- Has the work influenced the way people think or the questions that they ask?
- Is it work that people go (or will go) back to?
- Does it help enrich the practice of teaching?
- Does the work provide theoretical insight, or open up new areas of inquiry?
- Does the work represent a fundamental breakthrough?
- Does the work advance the discipline by pushing back the frontiers of understanding and/or practice?

C. Service Domain

- Evidence of having provided assistance and support to one's more junior colleagues. It is expected that helping relationships directed toward more junior colleagues will evolve into the role of active mentorship (e.g., in the realm of teaching and research) subsequent to the promotion to full professor.
- Demonstration of being a supportive and contributing colleague within the Department of Marketing and the Labovitz School of Business and Economics, providing service on an *ad hoc* basis, and being a willing and active participant on formal committees and sub-committees.

- Evidence demonstrating good citizenship (i.e., voluntary acts, which are intended to be positive/constructive in nature, and for which there is no evident *quid pro quo*) within the Department and the Labovitz School of Business and Economics.
- Evidence of providing meaningful campus and/or possibly university-wide service.
- Evidence of community-oriented service.
- Evidence of service to the academy (i.e., giving time and assistance within the realm of one's expertise to one's discipline, professional association, and colleagues both within and outside of the university).

VI. 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.

Adopted: May 16, 2006

Revision Adopted: April 24, 2007

FACULTY EVALUATION POLICY

LABOVITZ SCHOOL OF BUSINESS AND ECONOMICS

Effective March 1, 1998

Amended by LSBE Senate May 3, 2005

VALUES

The Labovitz School of Business and Economics (herein referred to as the School) values the intellectual growth and development of people. We strive to create an environment that provides students with the opportunity to consume knowledge, think, ask questions, analyze and explore problems and their solutions, and articulate their own emerging theories. Teaching and research are complementary activities and important for maintaining instructional currency; advancing understanding of organizations, business, management, and economics; and maintaining faculty vitality overall. The systematic study of organizations, business, management, and economics is important because it meets the growth and development needs of our students, advances the body of knowledge about organizations, and serves the needs of our region and society in general. Service and outreach activities extend our expertise to the academy and to our community.

We believe that a faculty member should: be a mature authority in the primary teaching field (or a well-defined subset thereof), and have satisfactory knowledge about secondary and allied fields; effectively transmit that knowledge to and develop capability in students, practitioners, and other educators at different levels of proficiency; have a broad view of business education, and serve as an effective resource and advocate for the field in curriculum, research, and outreach program development; understand the goals and objectives of the School, and be an active participant in the development and implementation of plans and programs; actively engage in research activities to increase breadth and knowledge, increase quality of education of students, and disseminate, through publication, that knowledge to students, practitioners, and other educators; provide the academy and community with access to their expertise.

OBJECTIVES

1. Clarify the School's performance expectations in the areas of teaching, research, and service/outreach and for meeting the School's goals and objectives.
2. Improve performance or the potential for performance by identifying areas for improvement and growth.
3. Develop and maintain consistency in the criteria and standards for annual merit reviews, annual reviews of probationary faculty, and for Promotion & Tenure reviews.
4. Provide a framework for making performance-based administrative decisions.

POLICY:

Currently, the School's overall pool of merit funds is divided to be allocated 65% for teaching and service and 35% for intellectual contributions. Teaching effectiveness, intellectual contributions, and service/outreach activities of faculty members will be reviewed annually. These reviews are carried out in accordance with University of Minnesota requirements and the UEA Contract. Faculty are expected to perform at level two (2) or above in all three areas (teaching, intellectual contributions, and service/outreach).

PROCESS:

- A) For Merit Review: teaching information, intellectual contributions, and service/outreach activities are indicated on the annual reporting form submitted to the Dean. Teaching and service evaluations are conducted at the departmental level for recommendation to the dean; intellectual contributions are evaluated at the School level for recommendation to the dean.
- B) The process for the Annual Review of Probationary Faculty is conducted in accordance with University and UEA requirements. A supplemental probationary file, containing documentation of intellectual contributions, is located in the Dean's office and is available for review by tenured faculty in the individual's department.
- C) The process for Promotion and Tenure follows University of Minnesota and UEA Contract requirements.

CRITERIA AND EVIDENCE OF PERFORMANCE for ANNUAL MERIT:

Teaching:

<i>Qualifications</i>	Authority in primary teaching area Advanced Degree and/or evidence of continuous progress, development, and maturity achieved through study (scholarship), professional experience, or both
<i>Preparation</i>	Syllabi and other course materials should show evidence of how thoroughly the faculty member prepares for courses and classroom activities, and how course objectives and expectations are communicated to students.
<i>Pedagogy</i>	Evidence of appropriate adaptation of pedagogy to different course levels Evidence of systematic introduction of new pedagogical elements and styles.
<i>Effectiveness</i>	"What" and "How much" students learn--obtained from course content given in syllabi and examinations and by the documented collective opinions of peer observers and/or students
<i>Documentation</i>	<i>Course Evaluations</i> are submitted as required by the UEA contract Faculty are encouraged to create and actively update a <i>Teaching Portfolio</i> to facilitate the review process

Intellectual Contributions:

<i>Achievement</i>	Only materials/activities relevant to the faculty member's area will be considered. Single-author and appropriate collaborative efforts will be treated alike. New faculty will be given appropriate credit for work completed prior to joining UMD. If a faculty member's academic record totals less than five years, the expectations for placing that individual into one of the four performance levels will be prorated.
<i>Documentation</i>	Faculty submit information on an annual report form. Faculty are encouraged to create and update a <i>Intellectual contributions Portfolio</i> to facilitate the review process. Copies of relevant materials (publications, manuscripts, etc.) are submitted with the annual report form.

Service/Outreach:

<i>Breadth of participation</i>	Involvement in activities of increasing importance to the School and the University, whether internal or external. Also, instances of voluntary participation in <i>ad hoc</i> groups or task forces.
<i>Leadership</i>	Acceptance of group leadership and the achievement of the group's goals in a timely and effective manner.
<i>Citizenship</i>	Service to departments and colleagues.
<i>Documentation</i>	Faculty submit information on an annual form.

LEVELS AND CONSEQUENCES OF PERFORMANCE:

Teaching:

<i>Level 3-- truly meritorious</i>	Individuals placed into this category would be candidates for meritorious salary augmentations in the realm of teaching when available, if consistently placed in this category could expect to see a favorable School P&T recommendation pertaining to teaching, and should be considered as viable candidates for nomination for the University of Minnesota's Horace T. Morse award, or other campus or university-wide "outstanding" educator awards.
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<i>Level 2 -- solid and sound</i>	Individuals placed into this category would be candidates for meritorious salary augmentations in the realm of teaching when available, and if consistently placed in this category, could expect to see a favorable School P&T recommendation pertaining to teaching.
<i>Level 1-- substandard</i>	Placement into this category signals that the individual faculty member is in need of instructional development assistance. The department is encouraged to offer recommendations for developmental assistance. Placement into this category identifies an individual who would not qualify for annual merit monies in the realm of teaching. If consistently placed in this category, an individual would not receive a favorable vote in the School's P&T review process as it pertains to their performance in the teaching domain.

Intellectual Contributions:

<i>Level 4</i>	An individual placed in this category will receive four shares of merit pool dollars in the realm of intellectual contributions.
<i>Level 3</i>	An individual placed in this category will receive three shares of merit pool dollars in the realm of intellectual contributions.
<i>Level 2</i>	Placement into this category signals that the faculty member may be in need of development. An individual placed in this category will receive one share of merit pool dollars in the realm of intellectual contributions.
<i>Level 1</i>	Placement into this category signals that the faculty member is in need of development. An individual placed in this category would not be eligible for any share of merit pool dollars in the realm of intellectual contributions.

Service/Outreach:

<i>Level 3-- truly meritorious</i>	Designates a faculty member as truly an "outstandingly good organizational citizen." An individual placed in this category would be eligible for meritorious salary increase in the realm of service/outreach. If consistently placed in this category, the individual should be nominated as a candidate for outstanding campus or University service awards.
<i>Level 2-- solid and sound</i>	Recognizes efficient and effective involvement in institutional and professional service. An individual placed in this category would be eligible for meritorious salary increase in the realm of service/outreach. If consistently placed in this category, the individual could expect a favorable recommendation on service/outreach performance for promotion and tenure.
<i>Level 1-- substandard</i>	Designates substandard involvement in institutional and professional service. Individuals in this category do not qualify for merit money in the realm of service/outreach. If consistently placed in this category, the individual could expect a negative recommendation on service/outreach performance for promotion and tenure.

PERFORMANCE STANDARDS

Teaching:

<i>Level 3--truly meritorious</i>	Student-based Teaching Evaluations consistently indicate a significant number of scores greater than 84 percent on any evaluation scale. Faculty member likely engages in many teaching-enhancing activities such as mentoring of students, guiding student research activities, involvement of students in one's own research activities, high-quality in-class learning opportunities, and conducting research on teaching effectiveness and using results to guide design of learning opportunities. In determining level of effectiveness, variables such as teaching load, contact hours, availability to students, advising, preparation of course materials, and professional development are considered.
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Level 2--solid and sound	Student-based Teaching Evaluations consistently indicate average scores (neither significantly high or low). Faculty member likely engages in some activities such as mentoring of students, guiding student research activities, involvement of students in one's own research activities, high-quality in-class learning opportunities, and conducting research on teaching effectiveness and using results to guide design of learning opportunities. In determining level of effectiveness, variables such as teaching load, contact hours, availability to students, advising, preparation of course materials, and professional development are considered.
Level 1--substandard	Student-based Teaching Evaluations consistently indicate a significant number of scores less than 50 percent on any evaluation scale. (e.g., students are not being provided with a challenging learning experience, adequate course organization, or out-of-class mentoring.) In determining level of effectiveness, variables such as teaching load, contact hours, availability to students, advising, preparation of course materials, and professional development are considered.

Intellectual Contributions:

Level 4	Differentiation between levels 3 and 4 depends upon: Level of achievement, number of publications.
Level 3	Achievement, based on a five-year rolling total, of: 3 refereed journal articles OR 2 refereed journal articles AND 2 additional items from Categories A and/or B.
Level 2	Achievement, based on a five-year rolling total of: 1 referred journal article OR 1 item from Categories A and 2 items from Categories A, B and/or C.
Level 1	Achievement that does not meet minimal standards for Level 2.

Service/Outreach:

Level 3--truly meritorious	Consistently high level of active participation, assumes responsibility, takes initiative (volunteers), and demonstrates leadership in a wide variety of internal and external activities of importance to the department, School, and University. Behavior and levels of involvement identify the individual as a truly outstanding organizational citizen.
Level 2--solid and sound	Demonstrates meaningful and substantive contributions, assumes responsibility, takes initiative (volunteers), and exercises leadership in activities of importance to the department and School. Frequent participation of a similar type in University activities. Occasional participation of a similar type in external activities of importance to the School.
Level 1--substandard	Participation consists of attendance only or is judged to be habitually perfunctory. No active participation, as defined for levels 2 & 3, in internal or external activities of importance to the department, School, and University.

Attachment: intellectual contributions categories.

As approved by the LSBE Research Committee on April 8, 2005 and the LSBE Senate on May 3, 2005

Refereed journal articles are not in any category.

Note: All items in written form must be publicly available

Category A

- Books (any edition)
- Book chapters
- Proceedings (final product)
- Final published report of externally funded projects
- Editor (book or journal)
- Published reports commissioned by government, educational or business organizations
- Published cases with instructional materials

Category B

- Proceedings (intermediate product)
- Non-refereed journal articles
- Monographs/working paper series
- Editor (yearbook, monograph, conference proceedings)
- Presentation at a workshop, conference, or seminar
- Poster session presentation
- Creation and offering of new executive education, professional, or academic course
- Federal grant proposals submitted
- Published instructional materials (other than published cases with instructional materials which are Category A)

Category C

- Published book reviews
- Manuscript reviewer for a journal, conference, or book
- Plan or participate in a conference (as a session chair, panelist, discussant, moderator)
- Submit paper for presentation or publication
- Development of discipline-based practice tools
- Externally funded grant proposals submitted (except for federal grant proposals submitted which are Category B)
- Preparation of new materials for use in courses
- Mentoring students and guiding student research activities (UROP's, involvement of students in one's own research activities)

NOTE: After each merit review cycle, the LSBE Merit Review Group will submit questions and suggestions to the Intellectual Contributions and Faculty Development Committee so that any needed changes/clarifications can be made.

Prorated merit system. As approved by Research Committee on April 8, 2005 and the LSBE Senate on May 3, 2005

	½ year	1 ½ years	2 ½ years	3 ½ years	4 ½ years
Level 3	1 Cat. A or B	1 Journal AND 1 Cat A or B	1 Journal And 1 Cat. A or B	2 Journals OR 1 Journal AND 2 Cat A and/or B	2 Journals OR 1 Journal AND 2 Cat A and/or B
Level 2	no Cat. A, B, or C	1 Cat. A OR 2 Cat. B, and/or C	1 Cat. A	1 Cat A AND 1 Cat. A, B, and/or C	1 Cat A AND 1 Cat A, B, and/or C

NOTE: A referred journal can replace any item in any category.