

**UMD Department of Management Studies
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 September 14, 2010

Approved by Dean on October 18, 2010

Reviewed by VCAA on October 18, 2010

Reviewed by Sr VP on December 8, 2011

Approved by Chancellor on December 15, 2011

I. Introductory Statement

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

1. 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,
2. the general criteria for promotion to associate professor and
3. 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 Vision Statement

We are committed to the intellectual growth and development of people. We will strive to make this value statement a reality: (a) through our commitment to the creation, interpretation, application, and dissemination of knowledge into the public arena, and (b) by working to create an environment in which students are encouraged to consume knowledge, think, question, analyze and explore problems and their solutions, and to articulate their own emerging theories of management and organization.

III. Departmental Mission Statement

The Department of Management Studies contributes to the broad teaching, research, and service responsibilities to which the Labovitz School of Business and Economics and the Duluth campus are dedicated as parts of the total University of Minnesota system. The Department recognizes that offering quality undergraduate instructional programs is its primary mission, the ultimate goal of which 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 management, human resources, strategy, and related fields. While knowledge may be created and disseminated through several methods, it is the quality and effectiveness of one's teaching and of one's scholarly activity that are the most important factors in maintaining and improving the climate for learning in the Department. Service activities are also seen as contributing to those outcomes. Evaluation criteria and standards within the Department relate to the mission of the Department. **IV. Indices and Standards for Tenure**

A. 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 an emergent professional distinction 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.

The basic criteria for tenure decisions are stated in Section 7.11 (Appendix 1) of the Tenure Code approved by the Board of Regents' (June 10, 2011) applicable to faculty covered by the University Education Association contract. This section of the present document provides information that relates specifically to the indices and standards and to the evidence required to

demonstrate that each criterion regarding tenure has been met. 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 the candidate's record to be firmly established, and a thoughtful and well-reasoned judgment and evaluation of that record to be rendered.

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 domains (i.e., teaching, research, and service), is discussed within the framework of the University rules and regulations, as well as the Mission and needs of the Department.

All regular faculty members are expected to demonstrate effectiveness in teaching, scholarly research, and service. In all circumstances teaching and scholarship are given substantially greater weight than service (service alone cannot qualify the candidate for tenure).

It is expected that the candidate demonstrates evidence of emerging professional distinction. As such, the candidate is encouraged to pursue accomplishments in the teaching domain that will lead to excellence. The candidate also is encouraged to develop a record of scholarly productivity and accomplishments that will serve as the foundation for developing a national or international reputation, or both. 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 will be factors considered, and will inform the final evaluation. The awarding of indefinite tenure presupposes that the candidate's record shows strong promise of his or her achieving promotion to Professor.

Time-in-grade, taken in isolation from substantive criteria for tenure, is not considered a valid criterion. Continuous personal development through participation in professional

development opportunities in all three domains is expected and encouraged, but is not sufficient to justify a recommendation for tenure. The overall performance of the individual in the domains of teaching, research, and service, with all factors considered, will govern the final evaluation. Exceptional performance in one domain does not compensate for lack of excellence in another domain.

Additionally, it should also be noted that while not all of the years in current rank need to be served at the University of Minnesota Duluth, a reasonable time in rank within the Department of Management Studies is necessary to thoroughly assess the credentials and performance of the faculty member.

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, and vice versa.

B. Teaching Domain

Each candidate will be reviewed on such items as the candidate's statement of teaching philosophy, course materials, outlines, readings, examinations, advising activities, and any other item having a bearing upon the quality and effectiveness of the candidate's teaching. Effective teaching is essential in achieving tenure. It is the candidate's responsibility to document and make available materials that enable the following evaluations:

- Assessment of teaching effectiveness, based on a variety of factors such as courses taught, curricular developments, evaluations by students, feedback from students, advisees, and alumni, and accessibility to students.

- Assessment of creative and innovative efforts of the candidate. Such efforts might include introducing different teaching methods, bringing research and case study results into the classroom where appropriate, and incorporating recent literature into courses.
- Assessment of advising effectiveness, based on a variety of factors such as evaluations by advisees, communications with advisees, and the faculty member's efforts to assist students with completion of their course planning.

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

Candidates will be reviewed and evaluated by the Tenure Review Committee on their intellectual contributions. Tenure requires that the candidate has completed work and disseminated results through appropriate venues that extend the frontiers of knowledge, or that apply knowledge to practical situations in novel or insightful ways. Outside review of a candidate's scholarly output by individuals who are academically qualified within the candidate's discipline(s) is considered essential and mandatory to add to the objectivity and reliability of the internal evaluation. Our overall goal in assessing the intellectual contributions of the candidate is to determine whether the candidate "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." (Section 7.11)

The evaluation of the candidate's research will cover the following areas:

- The candidate must demonstrate capability in research. Consistent with the School'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, outlets (e.g., acceptance rates, review process), and the impact of the candidate's work.

- The candidate is expected to maintain a continuous record of publication and intellectual contribution on his/her discipline throughout the probationary period. 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 (i.e., clustered in a narrow time period). There must be evidence to suggest that scholarly activity will continue after the granting of tenure (e.g., an active research program, a pipeline of scholarly activity). Lack of such evidence will effectively preclude the candidate from demonstrating that they are likely to continue to develop a distinguished record of academic achievement within the domain of scholarly research (i.e., knowledge creation and dissemination).
- The bulk of the candidate's published scholarly activity should be focused on and appear in outlets within his or her discipline(s) as reflected by the position held within the Department (e.g., Assistant Professor of Human Resource Management).
- Finally, the candidate's work must provide evidence of 'emerging professional distinction' that documents that the candidate has established and is likely to continue to develop a record of academic achievement that is the foundation for a national or international reputation, or both. Factors that can contribute to the assessment of emerging professional distinction include:

- The extent that 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 body of existing knowledge.
- The extent that a candidate's work is important and valuable to some recognized audience.
- Citations of the candidate's work.
- External reviewers' comments on the significance or potential significance of the work to the profession (practice) or to the academy.

D. Service Domain

Candidates will be reviewed on such items as their performance on committees, service engagements, and their contributions to the academy. 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.). In general, a candidate will be evaluated in the following areas:

- Supportive and contributing colleague within the Department, the School, the campus, and the University, such as providing service on an *ad hoc* basis, and being a willing, active, and contributing participant on formal committees and subcommittees. Each faculty member is expected to attend department meetings, participate in the School Senate, serve on School committees, and otherwise contribute to the ongoing governance and decision-making process of the School.
- Good citizenship within the Department, the School, the campus, and the University (i.e., voluntary acts, which are intended to be positive/constructive in nature, and for which there is no evident *quid pro quo*).
- Professionally-relevant community-oriented service.

Service to the academy (i.e., giving time and assistance within the realm of one's expertise to one's colleagues, both within and outside the University).

- Service to relevant professional practitioner organizations related to one's area(s) of expertise.
- Service that furthers the University's goals in the areas of interdisciplinary work, public engagement, international activities and initiatives, diversity, and technology transfer.

V. Promotion to Associate Professor

To be promoted to Associate Professor, an individual must have an established record of excellence in the domains of teaching, research, and service. The expectations for promotion to Associate Professor are the same as those for tenure. Only in the most unusual situations would a faculty member be tenured and not promoted to Associate Professor, and vice versa. For a probationary faculty, there should be one vote on tenure and one vote on promotion.

VI. Promotion to Professor

A. Criteria for Promotion

What the University of Minnesota seeks above all in its faculty members is intellectual distinction and academic integrity. The basis for promotion to Professor 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 and professional distinction that results in a national or international reputation, or both.

Associate Professors wishing to be promoted to the rank of Professor will be reviewed in each of the domains of teaching, research, and service. The promotion to 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 Professor 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 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 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 Professor is based on the criteria, standards, and performance expectations articulated below.

The primary emphasis in consideration of promotion to Professor must be on teaching effectiveness and on demonstrated scholarly work (i.e., the creation and dissemination of knowledge). Service alone cannot qualify the candidate for promotion to Professor (Section 9.2, Appendix 2).

B. Teaching Domain

Each candidate will be reviewed on items such as the candidate's teaching philosophy, academic program development, educational leadership, advising, role modeling, and student impact. Effective teaching is essential in being promoted to Professor. It is the candidate's responsibility to document and make available materials that enable the following evaluations:

- Assessment of teaching effectiveness, based on a variety of factors such as courses taught, curricular development (e.g., new courses designed), pedagogical innovations, evaluations by current students and alumni, feedback from students, and accessibility to students.

- A commitment to and passionate interest in teaching, primarily at the undergraduate level, along with support of graduate level education.
- Support of students and student organizations.
- A demonstrated willingness to supervise theses, UROPs, and independent study projects (not inclusive of regularly offered courses).
- Excellence in advising responsibilities and relationships. Assessment of advising effectiveness, based on a variety of factors such as evaluations of advisees, communications with advisees, and the faculty member's effort to assist students with completion of their course planning.

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

Consistent with the School'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. This assertion speaks to Sections 7.11 and 9.2 of the Board of Regents Policy on Faculty Tenure in appendices 1 and 2. Whereas Section 7.11 refers to the determination that the candidate "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," Section 9.2 speaks to "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." Therefore, the

bar is significantly higher for promotion to Professor than it is for promotion to Associate Professor. Moreover, while both quantity and quality dimensions of scholarly research are critical, the quality of that which has been produced is of greater importance than the quantity.

Some of the candidate's work must be judged as having 'advanced the discipline' through its empirical contributions, yet it is important that some of the work be theoretical or conceptual (e.g., interpretative, integrative) in nature. 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 candidate must show 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(s) as reflected by the position held within the Department (e.g., Associate Professor of Human Resource Management). In addition, the candidate should have achieved 'professional distinction' (i.e., made contributions to the literature that are judged as having 'made a difference,' as might be evident by the frequency with which those works are cited in the work of others and/or applied in professional practice).

The candidate is expected to provide evidence to suggest that scholarly activity will continue after the promotion to Professor (e.g., evidence of an active research program and a pipeline of scholarly activity). The following criteria are examples of the metrics used in making judgments about an individual's scholarly work, their impact, and the promotability of an individual to the rank of Professor:

- The work provides utility to practitioners.
- The work has reshaped the way people think or the questions that they ask.

- It is work that people go (or will go) back to.
- The scholarly work helps enrich the practice of teaching.
- The work provides theoretical insight or opens up new areas of inquiry.
- The work represents a fundamental breakthrough.
- The work advances the discipline by pushing back the frontiers of understanding and/or practice.

D. Service Domain

In general, a candidate will be evaluated in the following areas:

- While an Associate Professor, evidence of having provided assistance and support to one's junior colleagues. It is expected that helping relationships directed toward junior colleagues will evolve into the role of active mentorship (e.g., in the realm of teaching and research) subsequent to the promotion to Professor.
- Supportive and contributing colleague within the Department and the School is expected, including providing service on an *ad hoc* basis, and being a willing and active participant on formal committees and sub-committees.
- Good citizenship must be provided with in the Department, the School and the broader UMD campus and University (i.e., voluntary acts, which are intended to be positive/constructive in nature, and for which there is no evident *quid pro quo*).
- Meaningful campus and/or possibly university-wide service that furthers the University's goals in the areas of interdisciplinary work, public engagement, international activities and initiatives, diversity, and technology transfer.
- Professionally-relevant community-oriented service.

- Service to the academy (i.e., giving time and assistance within the realm of one's expertise to one's colleagues, both within and outside of the University). Service to relevant professional practitioner organizations related to one's area(s) of expertise.

VII. 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/or tenure review and decision(s).

Dean's Office

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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 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 if 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.