

O.3. Department of Psychology 7.12 Statement

DEPARTMENTAL 7.12 STATEMENT

STATEMENT OF STANDARDS FOR TENURE AND PROMOTION

Revised November, 2000

I. INTRODUCTORY STATEMENT

This document describes with more specificity the indices and standards that will be used to evaluate whether candidates meet the general criteria in Section 7.11 of the Regulations Concerning Faculty Tenure (September 12, 1997). For a complete perspective, the reader is advised to review Section 7 in its entirety.

II. DEPARTMENTAL MISSION STATEMENT

The mission of the Department of Psychology, in accordance with its long and distinguished history, comprises three objectives: significant contributions to the basic science of psychology and the applications of that science through creative scholarship, the thorough training of future generations in psychological science and its methods, and service and leadership to the discipline and profession.

III. CRITERIA FOR TENURE

Section 7.11 of the Regulations Concerning Faculty Tenure (September 12, 1997) specifies the criteria for tenure: 7.11 General Criteria. The basis for awarding indefinite tenure is the determination that the achievements of an individual have demonstrated the individual's potential to continue to contribute significantly to the mission of the University and to its programs of teaching, research, and service over the course of the faculty member's academic career. The primary criteria for demonstrating this potential are effectiveness in teaching and professional distinction in research; outstanding discipline-related service contributions will also be taken into account where they are an integral part of the mission of the academic unit. Evaluations of research, teaching, and service are complex, involving individual opinions, interpretations, values and judgments of scientific and educational matters. Consequently, absolute rules for weighting the components of the documented evidence cannot be set. Each evaluator must review, consider, and judge. However, we especially value excellence in research and scholarship and believe these form the cornerstone for excellence in teaching, especially at the graduate level, and afford the opportunity for service.

Below in sections A, B, and C, we set forth sets of standards for Teaching, Research, and Service respectively. In addition to these standards, and most important, the Department requires a record justifying the expectation that the candidate for indefinite tenure will go on to achieve Professor status. Documentation To assess whether or not a faculty member meets the standards set forth by the Department, to forestall accidental oversights of particular contributions, to provide a basis for the complex judgments required of each evaluation, and to insure fundamental fairness

in all decisions, we set forth guidelines on the documentation of achievements. These are supplementary to the University's "Regulations Concerning Faculty Tenure" (September 12, 1997) and the "Procedures for Reviewing the Performance of Probationary Faculty" (issued June 1986). These "Procedures..." provide a sketch of the contents of the P&T file. The present document may provide guidance to the candidate whose experience in these matters is limited. It is in both the candidate's and the Department's best interests to insure that the file provides a complete picture of a candidate's achievements. The file assembled for promotion and tenure evaluations may include things not assembled for other reviews, but the candidate's "P&T" file should be a continuous accumulating document. The items that make up the candidate's file for review are specified below. They fall in one of four major divisions: a list of general items and lists of specific items on Teaching, Research, and Service. Within a list, some items are specified as needed only for reviews for promotion and tenure, but not for annual or other reviews. Additionally, some items include guides to seeking or reporting information. The presence or absence of additional sentences at these points is not an index of relative importance. Nor does the ordering of items within the lists relate to their hierarchical importance. The specific documentation items are listed in the appropriate section, A, B, or C below.

The general documentation items are the following:

(a) A copy of the position announcement, job description, and/or advertisement used in the solicitation of applicants for the position the candidate holds.

(b) A current curriculum vitae incorporating

(i) biographical data including honors received,

(ii) scholarship and research activities including type and amount of intra- and extra-mural grant support received,

(iii) teaching activities including classes and advisees, (iv) professional services to the discipline or profession, and

(v) intra-university service activity.

(c) Copies of each of the candidate's annual "Faculty Activities Reports" to the department.

(d) All past reports of reviews by the P&T Committee on the candidate and the current and all past Faculty Tenure Record forms (now called "Appraisal of Probationary Faculty").

(e) A statement by the Department's Chairperson (in collaboration with the candidate) covering the time since appointment to the rank of Assistant Professor:

(i) the "start-up" money received by the candidate,

(ii) all in-house support via facilities, reallocated equipment, etc., and

(iii) all leaves, including Semester Leaves, Summer Research Leaves. Under "iii", copies of the faculty member's reports to the President concerning those leaves should be included.

Items (f) and (g) herein are sought anew only when a review for tenure and/or promotion is in prospect.

(f) An evaluative statement by the candidate regarding the candidate's research program and the relationship of that program to the important issues in that area and the broader field of psychology. The statement should be about two pages in length identifying, for example, the

candidate's three most important papers, their contributions, and their impact. The statement should neither be modest nor over-expansive: writing from the perspective of a knowledgeable "colleague" may help in drafting the statement.

(g) A set of at least 4 letters from distinguished scholars in the specialized area senior to the candidate who are from outside the University. Additional letters from inside the University, but outside the department, are permitted if the candidate feels it appropriate and useful to solicit such; such letters are not a substitute for letters from outside of the University. Because this is a special step in which we wish to avoid biases, we set forth the steps to be used in soliciting the outside letters:

i) The candidate will be asked to submit a list of 4-7 suitable evaluators with a brief rationale and biographical statement for each. The Department Chairperson will offer the candidate a complementary list of 4-7 names developed with the advice of the P&T Committee. The candidate may object to any of these for well specified reasons (biases, conflict of interest, or inappropriate competence); if a potential evaluator is challenged, either that evaluator's name will be struck from the list or the objection will be formally noted and later appended to any letter received. The Chairperson may likewise challenge any person on the candidate's list for similar reasons. Normally the candidate's Ph.D. advisor will not be asked to serve as a referee. (It is permissible that the lists overlap).

ii) The Department Chairperson will then solicit letters of evaluation from a set of persons drawn approximately equally from the two lists.

iii) The Department Chairperson's letter to the evaluators will provide specific information including curriculum vitae, the job description, a selection of key reprints (including those so identified by the candidate) and preprints, if appropriate. The Chairperson's letter shall ask that specific questions be addressed by the evaluators concerning

(1) contributions to the discipline by the candidate and comment as to whether the work provides advances or is journeyman,

(2) the creativity of the candidate and the scholarly reputation and recognition of the candidate, and

(3) the research productivity of the candidate relative to others who work in that area. (It is expected that the Department will draft and use essentially a form letter for this purpose to be used for all candidates). The candidate is invited to review the letters of solicitation and the accompanying documentation before they are sent out. The letter itself is part of the file.

(iv) In evaluating the content of such letters, the committee takes into account the Minnesota Data Practices Act which makes these letters available to the candidate.

A. TEACHING

1. Record of continuing success in teaching of both undergraduate and graduate students, including contemporary instruction and responsible handling of teaching duties.

2. Success in advising graduate student research. Documentation While the department highly values quality teaching and seeks to promote excellence, the objective evaluation of teaching success requires special wisdom. The popular student questionnaires are only one useful source of information and one that is lacking in perspective on the domain and on long term impact. We

seek here to include other potentially relevant information but recognize our list is far from complete. (See AAUP Twin Cities Report, February, 1982.)

(a) A list of courses and seminars taught and the years, e.g.: Number Title Years 5973 Psychology of Imagination F'73, Wtr'84 8044 Psychology of Despair F'86 This list should have separate parts for:

- i) regular University day school courses,
- ii) summer school,
- iii) extension division or correspondence courses.

(b) List any teaching awards received.

(c) A list of past and present Ph.D. students and completed dissertations supervised (as advisor or "co-advisor"), year completed if completed, and publication reference, if any, arranged chronologically, e.g.: X.T. Jones, Fear of Swimming, Ph.D. 1967, JPSP

(d) A similar list of M.A. students

(e) A similar list of undergraduate research supervisions (usually for Honors).

(f) List and describe any other significant advising of graduate or undergraduate students in research.

(g) Grants received for training or educational development.

(h) Textbooks published. Items

(i) and

(j) are required only when a review for tenure and/or promotion is in prospect.

(i) The most recent syllabus for each current course making up the candidate's teaching duties.

(j) Student ratings and evaluations for several courses. These usually take the form of numerical course ratings obtained using standard forms for this purpose. Such numerical ratings should be obtained over several years and compare the candidate's scores with the average scores of the Department's faculty (CLA P&T guide, G.3., page 28, Spring 1998). These data must be evaluated in the context of the type of course being taught.

B. RESEARCH

1. Clear evidence of excellent scholarship.

2. An ongoing successful program of independent research.

3. Evidence of substantial research productivity including publication in refereed journals of prominence in the area. Excellence of scholarship is more important than the absolute number of publications. Nonetheless, the level of productivity is expected to be "substantial" by the standards of that area. Excellence is judged by the substantive content, the originality of the research, the impact and recognition of the work, and the prominence of the journal or series in which it appears. First authorship is considered significant and a measure of the scholar's independent contribution. In its evaluation of technical reports, book chapters in edited volumes, or articles in non-refereed journals, the Committee recognizes that such work has not usually undergone competitive peer review and may therefore be perceived as not meeting the same high standards for publication as articles in prominent scholarly journals for which acceptance is based on competitive peer review. Accordingly, the Committee expects that the candidate's research statement will include explanations of the scholarly importance of the contributions

contained in such sources. Similarly, for multi-authored works, the Committee expects that the candidate's research statement will include explanations of the relative contributions of the authors to such works. In the absence of such explanations, the Committee will assume that the order of authorship indicates relative contributions, with first authorship being especially significant.

4. Achievements in research, significant contributions advancing in the field, evidence of creativity and original scientific thought reflected in their research that is recognized by distinguished scholars in the field.

5. Achievement of recognition in the field on the basis of their scholarship. (Professional service activities such as editorships and memberships on a national research advisory committee are evidence of this sort.) Documentation

(a) A copy of each publication or item "in press" (book, article, chapter, review, or "letter" produced by the candidate, assembled in chronological order). Special attention will be given to the candidate's record of achievement since their appointment to the faculty at Minnesota.

(b) A list of scholarly presentations given at regional, national, or international scholarly meetings, and the references to their published abstracts, if any. (Abstracts do not constitute a publication). (Talks given to non-scientific audiences are considered as teaching or public service, depending upon the particular audience).

(c) The most recent grant application(s) for intra- and/or extra-mural research support plus information on its disposition and feedback (pink-sheets), if available. (Preparation and submission of grant applications is seen as a usual part of the scientific activity expected of our faculty especially where such support is important to research progress).

(d) The candidate may provide additional information considered informative and relevant such as reviews of their work by others (e.g., from Contemporary Psychology), SCI or SSCI, etc. Documentation of the contributions or impact of non-refereed works (e.g., books, technical reports, inventions,...) are especially appropriate here.

C. SERVICE

1. Involvement in services to the discipline.

2. Involvement in services to the profession.

3. Responsible handling of university and college service tasks as well as of departmental service tasks and opportunities, principally service on departmental committees. Documentation The first two categories above, service to the discipline and service to the profession, reflect assignments usually arising as a result of scholarly and professional achievement and recognition. The third is service necessary to the successful functioning of the university, college, and department and part of the burden we all must share.

(a) Scholarly Services to the Discipline

(i) Lists of the journals, agencies, or publishers for which the candidate has reviewed on an ad-hoc basis. (ii) List of consulting editorships or editorial boards served on and year(s) of service. (iii) List of editorship, associate editorships, or agency research advisory panels served on and year(s) of service.

(iv) Scientific Organization Program Committee service and year(s) of service.

(b) Other Services to the Profession

(i) Elected offices in regional, national or international scientific and professional organizations, and years of service.

(ii) Committee and task force assignments to same and year(s) of service.

(iii) Consulting and teaching of workshops, continuing education, in-service training, etc.

(c) Service to the University, College, and Department (i) Elected to University and College offices and year(s).

(ii) University and College Committee and Task Force assignments, and year(s).

(iii) Departmental service assignments and year(s).

IV. REVIEW AND PROMOTION

Probationary faculty are usually hired at the rank of Assistant Professor in the Department of Psychology. Appointment at this rank requires that the candidate hold a Ph.D. or equivalent degree. While recruitment may precede awarding of the degree to the candidate, the candidate may not assume the rank of Assistant Professor without it. In the absence of such a degree, the candidate may join the faculty at lower rank. Upon completion of the Ph.D., the individual will be promoted to the rank of Assistant Professor. Faculty below the rank of Assistant Professor will be held to the standards listed in IV-A below for assistant professors. These standards will be used in the annual reviews of assistant professors, a procedure which forms an essential part of the tenure and promotion process. Below we set forth three sets of standards, namely, for (A) Assistant Professors, (B) Associate Professors and promotion to that rank, and (C) Full Professors and promotion to that rank. Each faculty can anticipate that they shall be held (evaluated with respect) to these standards on a continuing basis.

A. ASSISTANT PROFESSOR AND PROMOTION TO THAT RANK

1. Promise of excellence in scholarship and evidence that the candidate is living up to that promise.
2. An active program of independent research.
3. Evidence of productivity in that research including publications in refereed journals of prominence in the area. It should be emphasized that excellence is the primary criterion as contrasted with raw frequency of publication. Excellence is judged by the content, the originality of research, the impact and recognition of the work, and the prominence of the journal or series in which it appears. For junior faculty, first authorship is considered significant and a measure of the scholar's independent contributions.
4. A satisfactory record of quality instruction including teaching of contemporary materials and responsible handling of instructional duties.
5. Active involvement in graduate training.
6. Responsible handling of limited service tasks and opportunities.

B. ASSOCIATE PROFESSOR AND PROMOTION TO THAT RANK

Promotion to the rank of Associate Professor in the Department of Psychology is always accompanied by the granting of permanent tenure. A candidate for promotion to Associate Professor will therefore be judged in accordance with the criteria set forth in Section III of this document.

C. PROFESSOR AND PROMOTION TO THAT RANK

While considering the full body of work, the Promotion and Tenure Committee's review will emphasize the body of work since the previous promotion. In keeping with CLA guidelines (CLA P&T Guide, Sept. 1995, p.20, 8th paragraph). The standards for promotion include:

1. Evidence of distinguished scholarship.
2. An ongoing successful program of research.
3. Evidence of substantial research productivity including multiple significant contributions advancing the field published in journals, series, and volumes of prominence in the field. Excellence is expected.
4. A pattern of research activity and productivity that promises to continue well into the future.
5. Achievement of discipline-wide recognition for significant research contributions advancing research and theory in the field.
6. A record of continuing success in classroom instruction of both undergraduate and graduate students, including teaching of contemporary materials and responsible handling of instructional duties. Excellence in teaching is highly desirable.
7. Evidence of success as a trainer of graduate students for the Ph.D.
8. A significant contributor to the discipline and the profession through service activities.
9. Responsible handling of departmental service tasks and opportunities.
10. An accumulation of achievements in research, teaching, and service that establishes the expectation that the faculty member will continue to contribute with distinction to the science, the education of students, the University, and the Department.

V. PROCEDURES

The Department complies with the Procedures for Reviewing the Performance of Probationary Faculty Tenure as provided by Sections 16.3, 7.4, and 7.61 of the Regulations Concerning Faculty Tenure. Recommendations and votes on tenure and promotion represent the end product of a complex judgmental process by acknowledged specialists regarding the scholarliness, quality, quantity, and contribution of the research, teaching, and service of the individual candidate. It is a judgment about merit, not number of pages, length of service, or hours worked. Individuals render these judgments based upon their perceptions of the field and the relative product of the candidate. The procedures adopted are to insure that individuals have an adequate base of information for rendering a sound judgment and to insure that the issues at hand receive a thorough and balanced review. An exceptional majority of affirmative votes by at least two thirds of the eligible faculty comprising those present and those voting by mail ballot, is set as the requirement for award of tenure and/or promotion. This exceptional majority is specified because the awards of tenure and promotion are irreversible and commit the department, the college, and the university for a great many years into the future. Therefore, it is reasonable to expect that the level of certainty must be high before such commitments are made.

APPENDIX

The procedures described in this Appendix have been adopted to supplement Section V of the Department of Psychology Statement of Standards for Tenure and Promotion.

A. PROMOTION AND TENURE COMMITTEE

The Department of Psychology elects to proceed with its reviews with the guidance of a Promotion and Tenure Committee. The Committee is charged with insuring the assembly of appropriate documentation on probationary faculty and candidates for tenure and/or promotion and with the preliminary evaluation of that documentation. The appointment of this committee in no way relieves individual faculty members of their solemn obligation to review the assembled documentation on each person and to make their own judgments. Our judgments in aggregate are likely to be more sound than those of any small committee alone.

1. The Committee shall consist of five (5) senior faculty selected to represent the department's diversity. The committee shall include at least one member who is well informed in the broad area represented by the candidate. This member should not have had a formal collaborative working relationship with the candidate, such as co-author, co-investigator, or advisor. In cases where it is difficult to find a member with the requisite expertise and no formal collaboration, the Committee (in consultation with the Department Chair) may invite an expert from outside the committee to meet with the Committee and to provide information about the candidate. Any such meetings with non-committee members shall be made a part of the record of the review. In reviewing candidates for promotion or tenure, all Committee members are obligated to conduct the review in a fair and objective fashion, avoiding advocacy or an adversarial position.

2. The Committee will carry out reviews and evaluations of candidates for annual probationary reviews, reviews for tenure, and reviews for promotion. For annual reviews the Committee may set up subcommittees; reviews for promotion require the full committee to be involved in all stages. The Committee may consult others if they have special expertise or information (e.g., area directors). In conducting its reviews, the Promotion and Tenure Committee shall decide on its schedule of meetings and working rules, provided these decisions do not conflict with departmental, college, or university principles or schedule for promotion and tenure reviews.

3. The Committee and the Department Chairperson shall work with each candidate to assemble the proper documentation of the record of each candidate for review. The P&T Committee shall set a deadline by which the candidate must assemble all documentation for review. It shall be at the committee's discretion whether or not to review additional documentation from the candidate following this deadline. The Committee shall have the right to ask the candidate for additional documentation or clarifications of the existing documentation. Such requests will normally be made in writing by the Chair of the P&T Committee. At his or her discretion, the candidate may add additional material to the file documentation following the departmental review, for purposes of subsequent review at higher administrative levels. It is the candidate's responsibility to forward such additional material to the office where the file is located (which can be determined by calling the CLA Faculty Office at 624-9839).

4. It is the candidate's obligation to inspect the assembled documentation and insure its completeness. The candidate may insert a supplementary statement and "has the obligation to do so if any relevant material is missing from the file or if there is an error in any information contained in it."

5. Probationary faculty shall be reviewed annually. The annual review should be thorough but need not be so thorough as that for tenure and/or promotion. Probationary faculty must be reviewed for tenure in their sixth probationary year in rank. An Assistant Professor, however, may request consideration for tenure and/or promotion before the sixth year in rank. An Associate Professor may request a review with or without consideration for promotion in any year. In the absence of such a request, the Department shall initiate a review every third year the Associate Professor is in rank with a review for promotion in the Associate Professor's sixth year in rank.

6. Each spring, the department's Chairperson will notify eligible faculty of their options for promotion or tenure reviews, and the pertinent deadlines. A candidate who wishes to be reviewed for promotion or tenure in the following academic year shall submit a written request to the department's Chairperson within two weeks following this notification. Special requests may be made at any time but may not allow meeting of University deadlines in a given year. Requests for consideration for tenure and promotion should be made only after serious consultation with a senior faculty person in their area, other senior faculty, the Chairperson of the Department, or the Chairperson of the Promotion and Tenure Committee. The candidate must know that initiating such a review is a serious step and that the product of that review will be part of all future P&T files. This should not dissuade the accomplished candidate.

7. For candidates for promotion, the Committee shall carry out a preliminary review of the file and then meet with the candidate before outside letters are sought. This is an opportunity for clarification of any issues surrounding the file documentation. After this conference, in the case of requests for early promotion from Assistant to Associate or from Associate to Full Professor, the Committee shall decide whether or not to proceed with review for promotion as specified in section 8 of the "Procedures ... (issued September 12, 1997)." A decision to proceed is not to be considered tantamount to a positive recommendation.

8. The Committee shall prepare a written report containing a factual summary of the candidate's accomplishments, and the committee's evaluation. Prior to completion of the report, the candidate will be given the opportunity to review the factual summary and point out errors of fact. The complete report, including factual summary and evaluation, shall be circulated to eligible faculty and the candidate at least one week prior to the Department's Promotion and Tenure meeting. A copy of the candidate's curriculum vitae will also be distributed. It is the ethical duty and solemn responsibility of faculty to keep the contents of this report confidential, although it is appropriate for faculty who have received the report to discuss its contents with one another. At the Promotion and Tenure meeting, the P&T Committee shall present its recommendation to the eligible faculty in the form of a motion. This report and recommendation shall be one basis for discussions, further evaluation, and deliberations by the eligible voting faculty.

B. FACULTY MEETING ON TENURE AND PROMOTION

1. At a regularly scheduled department meeting called in accordance with the Department's constitution for this purpose, the Committee shall present its report on the candidate. At the conclusion of its report, it shall invite the Chairperson to provide any additional information on the teaching, research, and or service of the candidate that the Chair has that was not in the file. (Such items might include, for example, unsolicited letters of approbation or complaint about teaching.)

2. Persons who have a personal relationship with a candidate which might prejudice their judgment are not to attend this meeting. "(The Procedures Document (p.8) states that persons "...who are or were closely related to a candidate by blood or marriage, or who have or have had an intimate personal relationship with a candidate..." may not attend or participate in the meeting with respect to that candidate or participate in any other review level.)" Withdrawals from attendance or challenges to attendance should be made at least two weeks in advance.
3. With the exception of "2" above, all faculty who hold tenure in the Department of Psychology and who are senior in rank to the candidate are expected to participate in this important decision process. It is the duty of an eligible faculty member to attend the Department's Promotion and Tenure meeting. Eligible faculty who are unable to attend may vote by absentee ballot. Key materials, including vitae and committee report, should be sent to faculty who are out of town so that they can cast absentee votes in an informed manner. It should here be noted that two elected representatives of the Adjunct Faculty of the Department will not be eligible to vote on promotion and tenure decisions unless specific permission is sought from and granted by the Vice President for Academic Affairs in accordance with Section 13 of Procedures for Reviewing the Performance of Probationary Faculty (issued September 12, 1997).
4. As stated in the Department's Statement of Standards for Tenure and Promotion, an exceptional majority of affirmative votes by at least two thirds of the eligible faculty, comprising those present and those voting by mail ballot, is set as the requirement for an award of tenure and/or promotion.
5. The Department shall vote on the questions specified by Section 16 of the "Procedures ... (issued September 12, 1997) and separate votes must be taken on the questions of tenure and promotion.
6. The Chairperson of the Department is charged with preparing the final report of the faculty's deliberations and actions to the candidate and to the Deans. The Chairperson's meeting with the candidate should occur as soon as possible after the meeting, but after the Chairperson has prepared the written summary. The faculty shall abstain from comments to the candidate so that the fullest picture can be communicated to the candidate at one time.

C. AMENDMENT OF THE DEPARTMENT OF PSYCHOLOGY CRITERIA FOR PROMOTION AND TENURE

1. This document is a reflection of the Department's current mission, goals, and values, and represents the Department's efforts to insure success in fulfilling its mission, achieving its goals, and perpetuating its values.
2. The mission, goals and/or values of a department may change over time; such changes may require revision of this document. Additionally, experience with this policy document may teach us that as presently formulated, the policy does not fulfill its purpose; should this happen, revision of the policy may be required. Any such revision will be submitted to the College of Liberal Arts for review, as per Section 7.12 of the tenure code.
3. Although this policy document is not directly incorporated into our Department's constitution, the policy is considered of sufficient importance to the Department that the procedures for altering the policy should require more review than revision of other regulations.
4. Therefore, it is adopted that this document is subject to revision and amendment according to the same policies and procedures that guide amendment of the Department's constitution.

