CSE Promotion and Tenure

2016-17
Overview
Primary Criteria for Promotion and Tenure—Regular Faculty

Teaching and Research

Service is important but secondary
All criteria must be specified in Dept/Program 7.12 Statement

I. Promotion from Assistant Prof (N) to Associate Prof (P)
   Is accompanied by the granting of tenure; decision may be made in any year of the probationary period but must be made by the sixth year (unless extension sought/granted).

II. Promotion from Associate Prof (N) to Associate Prof (P)
   Criteria are the same as for I above.

III. Promotion from Associate Prof (P) to Professor (P)
   High levels of professional distinction in research and high standards in teaching; service is taken into account but is not in itself sufficient for promotion to Professor. Not granted solely on the basis of length of service.
Promotion and Tenure Resources

**Provostal:** Contains various forms and links to all relevant Regental and University policies

http://www.academic.umn.edu/provost/faculty/tenure/

**HR:** Detailed “Procedures” (how to vote, how many letters to ask for, etc.)

http://policy.umn.edu/Policies/hr/Contracts/TENURE_PROC01.html

**Departmental/Program 7.12 Statements**

http://www.academic.umn.edu/provost/faculty/tenure/7_12approved.html

**CSE Assoc. Dean for Academic Affairs** (templates!)

http://cse.umn.edu/r/promotion-and-tenure-forms
Promotion and Tenure Process

May–August
Department head consults and makes decision on whether to advance for promotion that year any candidate for whom the process is not mandatory.

August–October
Department head or designee assembles the dossier; department head requests letters from outside reviewers.

October–November
Department faculty vote and report; department head writes separate report and recommendation; dossier sent to Dean.

November–January
CSE P&T Advisory Committee reviews dossiers/reports and makes recommendations; Dean provides candidates Advisory Committee’s reports; candidates may respond.

January–February
Dean makes recommendation to Provost and provides copy to candidate; candidate may respond.

February–May
Provost makes recommendation to the Board of Regents (for approval at June meeting); candidate may respond.
CSE P&T Schedule for 2016–2017

Nov. 07  Electronic files from departments due in Dean’s office
Nov. 11  Secure electronic files available to Advisory Committee
Dec. 22  One-half of AC recommendations due to Dean’s office
Jan. 06  Rest of AC recommendations due to Dean’s office
Jan. 13  Dean’s letters to candidates about CSE Advisory Committee recommendations
Jan. 20  Candidates’ responses, if any, due
Jan. 24  Dean makes recommendation to Provost
<table>
<thead>
<tr>
<th>Name</th>
<th>Department</th>
<th>Term Ends</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ellad Tadmor</td>
<td>AEM</td>
<td>2017</td>
</tr>
<tr>
<td>David Odde</td>
<td>BME</td>
<td>2017</td>
</tr>
<tr>
<td>Lorraine Francis</td>
<td>CEMS</td>
<td>2019</td>
</tr>
<tr>
<td>Edgar Arriaga</td>
<td>Chem</td>
<td>2019</td>
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<tr>
<td>George Karypis</td>
<td>CS&amp;E</td>
<td>2018</td>
</tr>
<tr>
<td>Saif Benjaafar, Chair</td>
<td>ISyE</td>
<td>2018</td>
</tr>
<tr>
<td>Markus Keel</td>
<td>Math</td>
<td>2018</td>
</tr>
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</table>
CSE Promotion and Tenure History
1984–2016

<table>
<thead>
<tr>
<th>Promotion Path</th>
<th># Submitted</th>
<th># Denied</th>
</tr>
</thead>
<tbody>
<tr>
<td>Asst → Assoc</td>
<td>328</td>
<td>36 (11.0%)</td>
</tr>
<tr>
<td>Assoc → Full</td>
<td>308</td>
<td>15 (4.9%)</td>
</tr>
</tbody>
</table>
Administrative Details
What Ultimately Comes to the College?

A single pdf file (delivered physically or transmitted electronically) formatted as specified in the Provostal memo dated March 24, 2016 and transmitted to Heads and Administrators with additional Collegiate instructions by e-mail dated July 25, 2016.

Do not upload files to Google Drive—the College will do that when processed cases are transmitted to the Provost.
## Contents of P&T Dossiers

1. Appropriate 7.12 statement (in general, most recent)
2. Cover sheet (templates on CSE website)
3. Table of Contents (with page numbers)
4. Curriculum Vitae (template on CSE website)
5. Teaching Summary
   a) Narrative (an opportunity for candidate to comment about this section in any fashion desired)
   b) List of courses taught (with indication of enrollments)
   c) Student evaluation data (with comparison to departmental averages; template on CSE website; include all student comments)
   d) Advising (undergraduate and/or graduate)
   e) Peer evaluations
   f) Any unsolicited comments/evaluations
Contents of P&T Dossiers (cont.)

6: Research Summary  
   a) Narrative (overview of accomplishments and future plans; funding success and opportunities; any comments on collaborations and relative contributions)  
   b) Stature of publications (venue quality; citation metrics)

7: External reviews  
   a) List of reviewers and short biosketches  
   b) Copy of letter sent to reviewers  
   c) Reviewer responses  
   d) Process summary of reviewer selection and responses received (pre-identification of reviewers allowed and encouraged)

8: Service (department, college, university, profession, other)

9: ALL prior years’ Forms 12 (probationary faculty only)
Contents of P&T Dossiers (cont.)

10: Reports
   a) Departmental summary
   b) Dissenting reports from faculty
   c) Head’s letter and recommendation
   d) CSE Advisory Committee report
   e) Dean’s letter and recommendation

11: Supplementary information
   a) (P)reprints provided to external reviewers (no others required or wanted)
   b) Any materials added subsequent to initial delivery of dossier to the College (with dates)
Candidate Best Practices
Managing Your Materials

Help the head or designee in assembling the major portion of your dossier. Be sure that the documentation (for teaching, research, and service) is complete and well organized, including (generally in the CV):

a) Names of master’s and doctoral students who have completed their degrees

b) Names of master’s and doctoral students in progress

c) Complete list of refereed journal publications

d) Complete list of refereed conference publications. (Optional: Underline the name of the author who presented the paper; specify your contribution to jointly authored papers in (c) and (d) (e.g., %).)

e) Note invited papers when relevant
Help the head or designee in assembling the major portion of your dossier. Be sure that the documentation (for teaching, research, and service) is complete and well organized, including (generally in the CV):

f) List of books authored, book chapters authored

g) Complete list of *invited talks* at universities, conferences, industry, labs, etc.

h) List of research grants received
(with start and end dates, levels of funding, shared funding distributions)

i) List of proposals submitted and outcomes (or pending status)

j) Awards and prizes received for teaching/research/service

k) All teaching evaluations and student comments
Be sure to give a seminar in your department to acquaint your colleagues more fully with your research; ensure that most content is at a level that will be accessible to the full faculty even if some more technical portions are important.

Give your department head a list of 10 individuals who you believe qualified to act as expert external referees.

Be sure to pick potential referees from peer institutions and those who are leaders in your research area; assistant professors should consider whether international referees will be sufficiently familiar with American promotion and tenure procedures to be effective.
Department Head
Best Practices
Responsibilities of the Head

For external referees:

• 50/50 mix of candidate and faculty suggestions (identify which)

• At least half, and no fewer than four, of the external reviews must be obtained from individuals with no direct professional or personal interest in the advancement of the candidate.

• Remember to advise the referees about the State of Minnesota’s open records policy.*

• Include in the P & T dossier of the candidate a short biographical sketch of the referees.

• Reviewers must be told if the candidate’s probationary period has been extended and should be advised to account for productivity using the specific language provided.**

• Provide departmental norms for teaching evaluations using CSE template.
Mandatory Text in Letter to All Reviewers

“Your letter will become part of Dr. ‘s personnel file. The Minnesota Government Data Practices act allows an employee complete access to the contents of that file upon request. According to our procedural rules, your letter will be available to Dr. ”

DO NOT augment, diminish, comment on, or discuss these three sentences.
Also, the University of Minnesota’s Procedures for Reviewing Candidates for Tenure and/or Promotion require me to inform you that Dr. -----------’s probationary period was extended (one/two/three) year(s) based on appropriate criteria specified in our tenure policy. Such an extension does NOT incur any obligation to demonstrate a higher level of productivity than would be expected of a faculty member who does not extend their probationary period. Please evaluate Dr. -----------'s scholarly contributions accordingly.

Note: this text is not required for candidates who are put up “early” and thus do not use any approved probationary period extension(s).
Responsibilities of the Head

The probationary faculty member has not only the right but the responsibility to inspect the ultimate file. He or she also has a right to submit written comments and to add relevant materials (dated and identified as supplementary from the candidate) to the file.

Be sure the dossier is complete **BEFORE** your faculty votes on the candidate.

If any material, comments, etc. are added to the file after the faculty vote and before the file is sent to the Dean, the voting faculty and candidate must be notified and given the opportunity to respond. Responses must be added to the file, dated and identified.

To include additional material in the dossier **AFTER** it has been sent to the dean’s office, send it to the associate dean and **NOT** to the CSE P&T Advisory Committee. We will distribute the material and notify the candidate that his/her file has been changed so that he/she can respond if warranted.
Responsibilities of the Head

The vote is taken by written, unsigned secret ballot. Faculty members unable to attend the meeting must be given an opportunity to vote using either a secure server (Simply Voting service) or by written absentee ballot, which should be sent in a sealed envelope to the unit head. In both cases, procedures must be in place to assure voter anonymity. Proxy votes, telephone votes, fax votes, and e-mail votes are not permitted. Abstentions are strongly discouraged.

Retain the secret ballots until after the Board of Regents has acted on all recommendations. They may be needed as evidence should there be a challenge to the unit’s decision.
Responsibilities of the Head

**Important for pre-tenure faculty:** Be as informative as possible in filling out Form UM 12 for probationary faculty. Clearly spell out each year’s accomplishments and future expectations regarding teaching, research, and service.

In the 1st year, provide them with the tenure regulations, procedures, and the unit 7.12 statement. Note that this has been accomplished on the 1st year’s UM 12.

**Important for associate professors:** Every 4 years, each associate professor must be given written feedback about his/her progress toward promotion to full professor. This can be done as part of the annual (or special) merit review process but must be documented. HOWEVER, do NOT include Forms 13 in promotion dossiers—they have ONLY a formative purpose, not an evaluative one.
Evaluating Performance—TEACHING

Student evaluations
Written comments (all), summary of data by measurement services

Peer evaluations

Courses, laboratories, software developed

Mentoring of graduate and undergraduate students leading to identifiable accomplishments

Publication of textbooks

Teaching awards

Student advising

If in doubt, refer to unit 7.12 statement
Evaluating Performance—RESEARCH

Peer-reviewed archival publications
Journal papers, book chapters, research monographs

Peer-reviewed conference publications, presentations

Research software, patents, and inventions

Successful proposals for external support of research activity

Advising of graduate students
Master’s and doctoral levels, and postdocs, all as appropriate

Development of special facilities necessary to support research activity

Invited talks at universities, national/international meetings, and government/industrial research laboratories

If in doubt, refer to unit 7.12 statement
Evaluating Performance–SERVICE

Service at the department, college, and/or university levels

Editor/associate editor/editorial board of scholarly journals

Organizing national/international professional meetings

Officer in a national/international professional society

Other service activities for which substantial contribution can be documented

If in doubt, refer to unit 7.12 statement
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