ACADEMIC POLICIES

EMS Supplement to AC23: Fixed-Term (FT) Faculty Promotion Policy

Policy Status: Active

Policy Steward: Dean, College of Earth and Mineral Sciences

Policy's Initial Date: January 1, 2005
This Version Effective: January 15, 2018

CONTENTS:

PURPOSE:

For the conditions of appointment, evaluation, and promotion for research and instructional faculty members who are not subject to the provisions of tenure.

I. ROLE OF THE FIXED-TERM FACULTY

The College of Earth and Mineral Sciences is committed to developing integrated, high-quality programs that address missions in teaching, research, and service. Over the last several decades, the context in which the College operates to build such programs has evolved significantly. Faculty activities and talents are now directed at a substantially expanded set of roles, rights and responsibilities. One outcome of this evolution is the need to hire talented faculty that can focus directly on specific elements of the three-part mission of the University. In this manner, the Fixed-Term Faculty complement the Tenured and Tenure-track Faculty to achieve the mission of the university on a balanced and continuous basis, in a dynamic and ever-changing academic landscape.

II. TITLES AND CATEGORIES OF FIXED-TERM NON-TENURE TRACK FACULTY

The categories for ranks in the College reflect the definitions found in AC21.

(a) Ranks for non-tenure-line (fixed-term or standing) teaching faculty
1. Lecturer
2. Assistant Teaching Professor
3. Associate Teaching Professor
4. Teaching Professor

(b) Ranks for non-tenure-line (fixed-term or standing) research faculty
1. Researcher
2. Assistant Research Professor
3. Associate Research Professor
4. Research Professor

(c) Professor of Practice

III. APPOINTMENT AND PROMOTION

Appointments of Fixed-Term, Non-Tenure Track Faculty will be made by the hiring Department or Institute in accordance with definitions found in AC21 and this guideline (see Table 1), and written departmental or institute standards.

Research ranks and Instructional ranks are intended for individuals who are engaged primarily in research or teaching respectively, and are always Fixed-Term in nature. A secondary administrative title is feasible.

Table 1. Appointment and Promotion Authority (Policies AC21 & AC23)

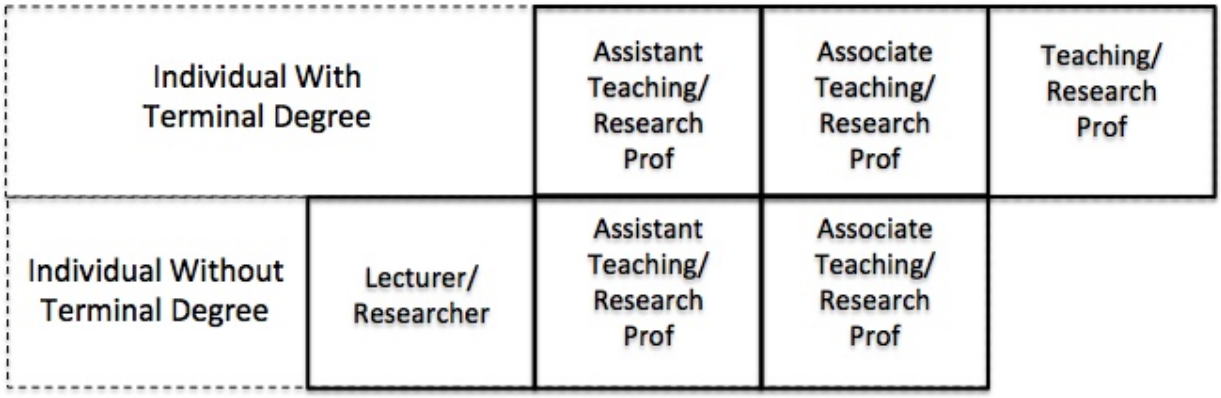
Title	Appointment by*	Promotion Authority	Concurrence Required From
Lecturer	HOD (or ID with HOD approval)	Dean	Dean
Assistant Teaching Professor	HOD (or ID with HOD approval)	Dean	Dean
Associate Teaching Professor	HOD (or ID with HOD approval)	Dean	Dean
Teaching Professor	HOD (or ID with HOD approval)	Dean	Dean
Researcher	HOD or ID	Dean	Dean
Assistant Research Professor	HOD or ID	Dean	Dean
Associate Research Professor	HOD or ID	Dean	Dean
Research Professor	HOD or ID	Dean	Dean
Professor of Practice	HOD or ID	Dean	Dean and Vice Provost for Faculty Affairs

*HOD – Head of Department; ID – Institute Director

IV. PROMOTION OF NON-TENURE ELIGIBLE RANKS

Promotion of non-tenure-track faculty and researchers should be made in accordance with the Fixed-Term Faculty Advisory Committee Promotion Guidelines Document, in the Appendix. Promotions are expected to involve salary adjustment. Figure 2 provides the promotion pathways for each rank category:

Figure 1. Promotion Pathways



Documentation of the candidate's performance is necessary to support a recommendation for promotion. Department heads and institute directors, in accordance with AC40, "Evaluation of Faculty Performance," should ensure that all non-tenure-eligible faculty members receive an annual performance evaluation. Success in meeting/attaining the conditions of appointment, evaluation and promotion for research and instructional faculty members who are not subject to the provisions of tenure, as presented herein, will be predicated on the institution of a rigorous, comprehensive, and meaningful evaluation process. Such a process would recognize the career status of FT faculty members, and their unique set of responsibilities. FT faculty with appointments in more than one Department or Institute should be considered for promotion by their primary appointment unit, with documented consultation with the other units.

In all cases for promotion of non-tenure-eligible faculty members with terminal degrees or exceptional experience as defined in these guidelines for faculty, promotion will involve:

1. Review and a recommendation by the Department Head and/or Institute Director (informed when possible by review and recommendation from an internal committee of 3 senior FT faculty),
2. Review and recommendation by a college-wide committee, and
3. Review and approval by the Dean.

EMS will set up a College-wide committee to assess fixed-term promotions. Only full-time fixed-term faculty members are eligible to serve on and to vote for the members of the review committee in their unit. Only faculty of higher rank than the candidate can make recommendations about promotions.

Exceptions to the College procedures and guidelines are allowed with the approval of the department head/institute director and the Dean. Exceptions from the College procedures may be necessary during the period of transition to new senior level teaching rank contained in AC21,

dated July 1, 2017.

V. INFORMATION ABOUT PENN STATE EMPLOYEE POLICIES

https://policy.psu.edu/

Note especially:
AC-21 – Definition of academic ranks
AC-24 Professional Dual Titles for Research Rank Faculty
HR-36 – Educational privileges for faculty, staff, and retirees
AC-40 – Annual Evaluation of Faculty Performance
AC-61 – Faculty Contracts
AC-76 – Faculty Rights and Responsibilities
AD-29 – Statement on Intolerance
AD-85 – Sexual and/or gender-based harassment and misconduct

APPENDIX A

Fixed-Term Faculty Advisory Committee Promotion Guidelines

I. Introduction

The College of Earth and Mineral Sciences acknowledges that Fixed-Term faculty members (FT faculty) play a different role within the college than tenure-line faculty. As a result, FT faculty members have different career paths and should be evaluated differently than tenure-line faculty. It is important that FT faculty evaluation be based upon each FT faculty's unique career context, and in accordance with relevant Academic policies, specifically AC21 and AC40.

The College of Earth and Mineral Sciences has specified that the role of the FT faculty is to augment the extent and range of activities performed by tenured faculty. FT faculty currently make up a significant percentage of the total faculty, are found within each unit, and perform a wide variety of functions. While FT faculty duties and responsibilities can be categorized into the areas of teaching, research, service and administration, FT faculty job descriptions rarely require that these individuals be responsible for demonstrating evidence of accomplishment in EACH of these areas as are tenure-line faculty. Most often, FT faculty members' duties and positions are determined by their funding sources and therefore are focused in only one functional area, i.e., teaching, research, service, or administration. This requirement to focus or “specialize” has led to uncertainty concerning FT faculty promotion.

The following guidelines describe two interrelated parts of the promotion process: documentation procedures and the evidence for evaluating an individual for promotion.

I.A. Motivation for these guidelines

In the fall of 2008, the dean sent a letter to the FT (formerly FT&Research) Faculty Promotion Review Committee expressing concern that promotion dossiers for FT faculty often lacked uniformity. Consequently, members of the FT Faculty Advisory Committee discussed possible strategies for facilitating an egalitarian promotion process that would do the following:

- Improve understanding across all units of the role of Fixed-Term faculty
- Clarify the evaluation criteria for promotion
- Clarify the differences in the emphasis areas and/or role expertise, (teaching, research, administration, or service) that FT faculty bring to the work they do

The committee identified several issues concerning how the current process is implemented. Some of these include:

- Confusion regarding the differentiation between tenure-line and Fixed-Term faculty
- Lack of clarity surrounding expectations of performance for Fixed-Term faculty positions
- Lack of understanding of the diverse and evolving role of FT faculty
- Lack of guidelines for what evidence promotion dossiers should contain
- Lack of guidelines for how promotion dossiers are evaluated
- The fact that the evaluation process is not always in line with budgetary calendars and reappointment
- Lack of guidelines for handling evaluation/promotion for faculty who change tracks, i.e., from research emphasis to teaching emphasis

In this context, it was the goal of the FT Faculty Advisory Committee to:

- Understand existing evaluation and promotion practices
- Recognize the unique challenges that EMS FT faculty face
- Recommend revisions that more closely support the mission of the College of Earth & Mineral Sciences

I.B. Goals of the FT faculty annual review and promotion process

The FT faculty review and promotion process should:

- Be easy to understand and accomplish
- Recognize that the FT faculty's activities are determined by the individual's funding source which should be reflected in their job description
- Meet the diversity of the entire EMS FT faculty scope of responsibilities
- Support long-term professional development and enhance the annual review process
- Encourage supervisor/unit leader involvement
- Recognize the changing nature of the role of the FT faculty in the College, University and higher education
- Provide clear yet flexible guidance regarding the types of evidence and the criteria used to evaluate this evidence

I.C. Use of these guidelines

The following requirements have been identified as foundational to the FT faculty promotion process:

- Every FT faculty member must have a current and accurate job description.
- All descriptions shall be reviewed, edited, and approved by the individual's supervisor, in conjunction with the unit leader, if appropriate.
- Expectations of fixed-term and research faculty shall be clearly communicated and agreed to by both parties.
- The accumulated fixed-term and research faculty performance evaluations, henceforth referred to "faculty activity summaries," are to serve as the basis for the promotion dossier.

These guidelines are intended for the following audiences:

- Candidate FT faculty who are in the process of putting together a case for promotion. These guidelines should help candidates to document their own case in terms of the job descriptions that have previously guided their work and the collection of evidence that supports accomplishments over time.
- Supervisors and unit leaders of FT faculty, for whom these can serve as promotion guidelines, and perhaps more importantly, as a model for mentoring their FT faculty.
- FT Faculty Promotion Review Committee members, for whom these guidelines would help to clarify how FTF promotion cases should be evaluated with more consistency across cases and over time.

II. Annual Review Process

Candidates making a case for promotion should document the work they have undertaken with evidence that supports their job descriptions over time. A key component of this documentation, or promotion dossier, is the annual review. The promotion dossier should highlight those areas where the candidate believes their work is of a standard that would warrant promotion. In this context, candidates should aim to incrementally build a record of achievement sustained over time. The level of achievement will be commensurate with the expectations of performance at the level to which promotion is sought. The candidate's case should be based on the work they are required to undertake as part of their role in the College. For example, a research-only FT faculty member would not be expected to teach, and accordingly would not be expected to present evidence of teaching accomplishments. A mix of teaching and research evidence is expected for those that both teach and perform research.

II.A. Overview and Timeline of the Annual Review Process

The FT faculty promotion process is built upon the annual performance review process. Simply put, the promotion dossier is an incrementally created assemblage of annual reviews. Preparing the annual review is a shared responsibility of the FT faculty member and his/her supervisor and/or unit leader. The applicable year's job description, the annual summary, and a candidate's evidence become the FT faculty's "annual review." An annual meeting between the candidate and his/her supervisor provides a basis for a further revision of the job description for the following year. The process is cyclic and summarized below:

- **Faculty Activity Summary (February - March):** The FT faculty member prepares the Faculty Annual Performance Evaluation (including job description), utilizing the format supplied by the College.
- **Annual Review (due April 1):** The FT faculty member discusses the performance evaluation, including job description, prior year activities, and future goals with their supervisor. If the FT faculty member is in his/her first year, the job description only is discussed. The FT faculty member and the supervisor ensure that a copy is kept with the

Department, Institute, or Division head.

- **Evidence Compilation (July – June of subsequent year):** Throughout the year, the FT faculty member compiles the evidence relevant to the job description.
- **Prepare Faculty Activity Summary (February - March of subsequent year):** The FT faculty prepares or revises his/her job description and prepares an annual performance evaluation. The job description for the subsequent year is prepared in consultation with the supervisor.
- **Annual Review (due April 1 of subsequent year):** The FT faculty member discusses the annual performance evaluation, including job description, prior year activities, and future goals with their supervisor. If the FT faculty member is in his/her first year, the job description only is discussed.

Please Note: All new FT Faculty should have a job description for their first year. This job description can be included as part of the offer letter or composed as a separate document.

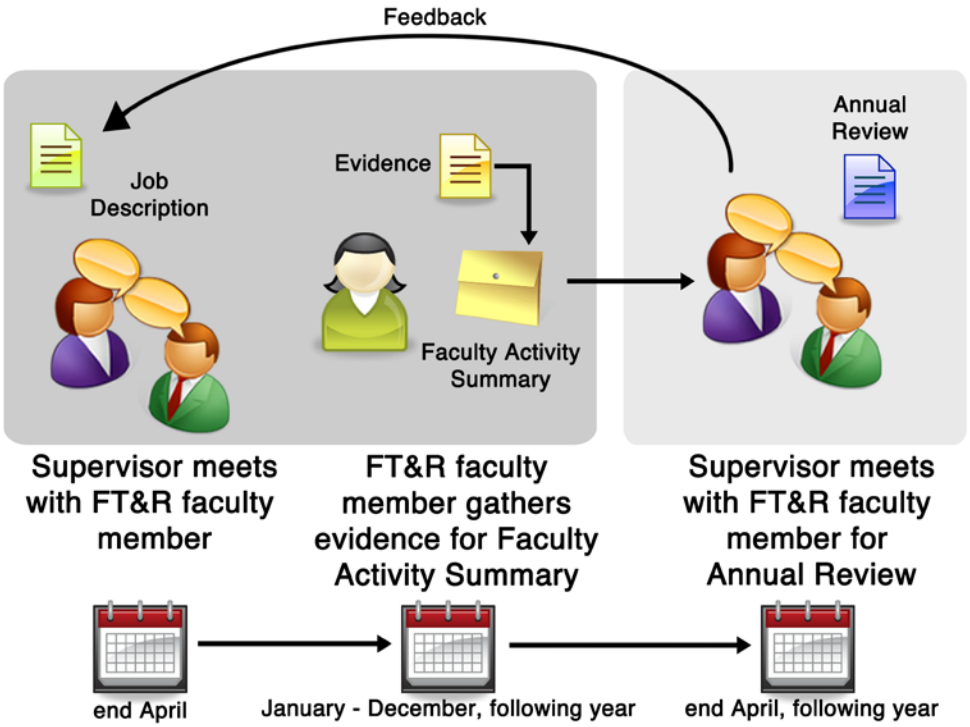


Figure 2: Fixed-Term Faculty Annual Review Process

II.B. Guidance for the Annual Review

The annual review consists of departmental/institute guidance and the annual performance evaluation, which includes job description and evidence. Only evidence applicable to the prior year job description is required. However, should the FT faculty member wish to include activities in areas that go beyond the current job description, he or she is encouraged to do so. Should the FT faculty member need to reflect mid-year changes in the job description, the evidence is an appropriate place to reflect the change.

For example, if the annual job description does not support the FT faculty providing evidence in the area of "research," none is required, though evidence of research may be shared as something additional to be considered for the upcoming year's job description. In this manner, the annual review serves as a "build-as-you-go" promotion dossier that reflects the activities of the FT faculty

member for that specific evaluation year. These annual documents are retained by the individual and make up the backbone of the portfolio for promotion.

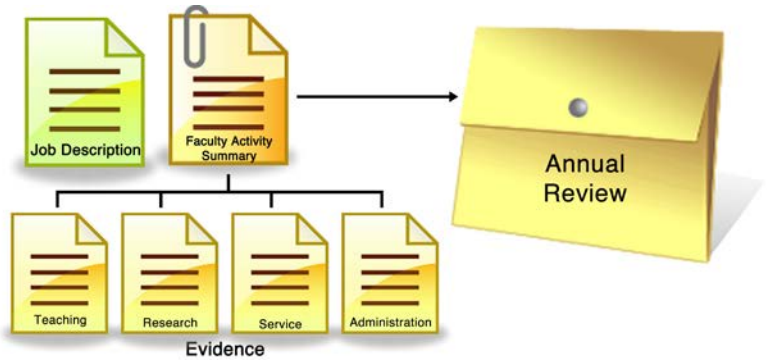


Figure 3: Annual Review

III. The process of documenting a case for promotion

To initiate the promotion process, the candidate should solicit support from their supervisor and/or unit leader during the annual review. After this discussion, the promotion dossier should be submitted to the unit appropriate Institute/Department FT Faculty Promotion Committee for consideration no later than October 1st. In cases where the promotion is a college-level decision, the final dossier should then be forwarded to the Dean's office to be distributed to the College of EMS Fixed- Term Faculty Promotion Committee no later than January 2nd.

The promotion procedure itself should include recommendations by the Institute/Department head (informed when possible by review and recommendation from an internal committee of 3 senior FT faculty), the college faculty promotion committee, and the approval of the dean of the college. The College FT Promotion Committee consists of five members, composed of and elected by the full-time FT Faculty. The Department or Institute head forwards their recommendations to the college-wide FT Faculty Promotion Committee. Only faculty members of higher rank than the candidate should make recommendations about promotions. Their final recommendation is then forwarded to the Dean for a final promotion decision.

III.A. The Promotion Dossier

Evidence for consideration for promotion by the Dean (and review by the FT Promotion Committee) consists of the most recent annual review and preceding reviews. These will be packaged into the "Promotion Dossier." The Promotion Dossier includes a précis that the FT faculty member and their Department Head/Institute Director develop. The précis includes a brief summary of the past five (or as appropriate) years of contributions, the supervisor's and/or unit leader's recommendation, and letters of evaluation. The FT faculty member is responsible for maintaining their individual reviews, which will be compiled into the promotion dossier.

In the event that a faculty member either chooses not to undergo review for promotion or is deemed to be not ready to proceed through promotion, a waiting period is suggested prior to initiating a new review. The length of this waiting period should be decided in conjunction with the faculty member, his or her supervisor, and the Department or Institute leader.

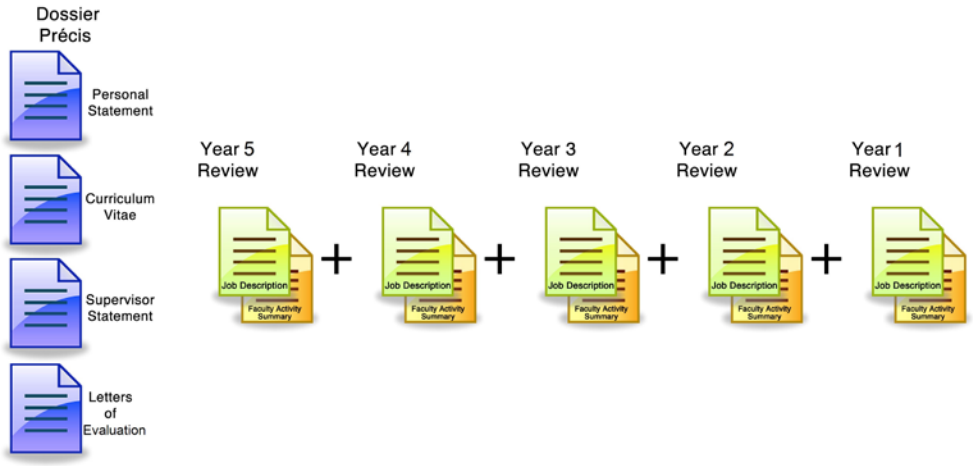


Figure 4: Sample Promotion Dossier – Time Frame to be Determined in Conjunction with Supervisor/Unit Leader

The intent of these guidelines is not to prescribe exactly how each candidate should construct their own case for promotion. However, candidates are expected to document and share evidence of accomplishment related to the work and responsibility areas that their previous job descriptions have charged them with in a manner that advances their particular case. In this way, candidates having collected, shared, and stored year review materials can easily assemble a summative report or dossier that demonstrates a sustained record of accomplishment.

The dossier should include:

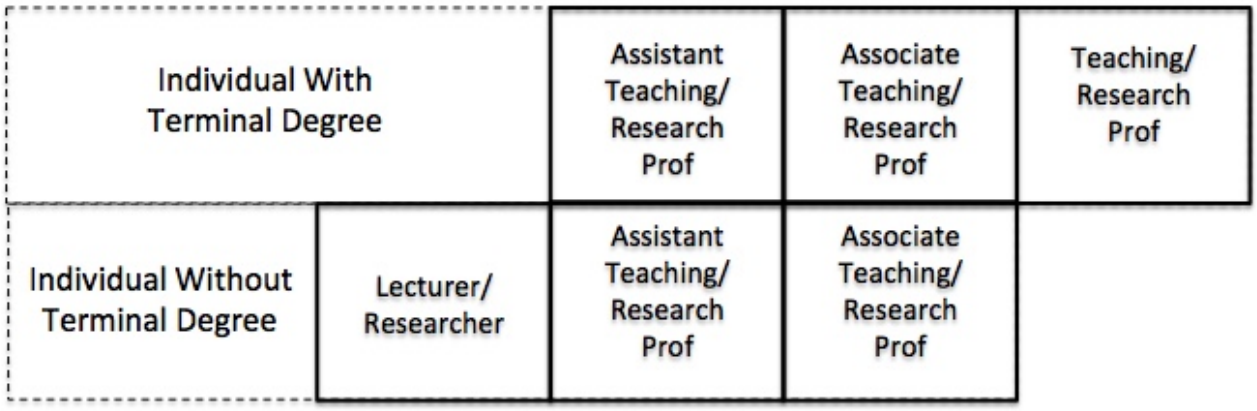
- Part A - Personal Statement (The argued case for promotion and the specific plans for continued development)
- Part B – Curriculum vitae
- Part C – Unit leader Statement (Department or Institute Head)
- Part D – Letters of Evaluation from areas relevant to the position. The unit head from a list provided by the candidate will solicit these letters. Letters may be internal or external, depending on the scope of the candidate's work. Three to four letters are recommended.
- Part E – Other summative evidence from previous years' reviews

The candidate's dossier should focus the FT Faculty Promotion Review committee's attention at the appropriate level on:

- **Quality and Productivity**
- **Recognition and Significance**
- **Sustainability**

III.B. Promotion Pathways, Criteria, and Types of Evidence

Figure 1 (reproduced below) provides the pathway for promotion for each category:



Doing a good evaluation is like doing good research. In both cases, answering key questions is essential. The key to doing both activities well is identifying the right questions to ask and then collecting the proper evidence to answer them. Documenting and evaluating the contributions a FT faculty member makes is critical since the promotion process will ultimately reflect overall program quality and impact. Three areas that indicate the overall quality and impact of FT faculty include:

- **Quality/Productivity.** Excellence and/or level of accomplishment in the discovery aspect of one's mission; the generation, production, and/or transmission associated with that discovery. This criterion recognizes that clear goals, adequate preparation, and the use of well-defined and appropriate procedures are necessary elements of successful discovery.
- **Recognition/Significance.** Acknowledgement, internal and/or external, of the successful achievement of a FT faculty member's goals, and effective presentation of that faculty member's work to the appropriate forums with clarity and integrity. Significance includes integration of one's work into a larger pattern, and the application of it to achieve relevance.
- **Sustainability.** The constant pursuit of an effective and long-term ability to produce, function, and yield within a mission. This criterion recognizes that the advancement of scholarship is dependent upon periodic self-reflection that involves looking back, defining strengths and weaknesses, and ultimately moving forward to a higher level of performance. This criterion also recognizes the application of one's work to a higher purpose than individual achievement, which is central to the evolution of institutions and fields of endeavor.

The following table illustrates the relationship between impact, evidence of the impact, and FT ranks.

Table 2: Impact and FT levels			
Level	**Assistant Teaching/Research Professor (w/out terminal degree)**	**Associate Teaching/Research Professor (with or w/out terminal degree)**	**Teaching/Research Professor (with terminal degree)**
Impact	Evidence with respect to the unit and potential demonstrated for contributions to the University and discipline.	Evidence with respect to the unit and University. Potential demonstrated for contributions to the discipline.	Evidence with respect to the unit, University, and discipline.

[1] These criteria come directly from Bacastow, T., Ma, X., et. al. (2011, January 28). *Report of the Panel to Inform Performance Criteria for Fixed-Term & Research Faculty in the College of Earth and Mineral Sciences,* p. 4.

APPENDIX B

FT Promotion Expectations and Criteria

I. PURPOSE

What follows are four identified functional areas that may be germane to FT faculty (Teaching and Learning, Research, Service, and Administration). Within each functional area, example criteria that suggest appropriate standards for promotion at each level are presented. We refer to the above-mentioned Promotion Pathways table where rank levels are specified.

Individuals should check with their department or institute to see if there is any specific evidence recommended by the department or institute in question. In addition, individuals should provide evidence as relevant to their specific job description. While an individual may primarily be engaged in teaching or research, they may also perform aspects of service and/or administration, as specified in their job descriptions.

In addition, examples of evidence are provided which FT faculty might present within their annual reviews and that may later be selected as evidence to include in their promotion dossier.

II. Teaching and Learning

For those FT faculty whose work is entirely focused within the area of teaching and learning, promotion among the ranks of Lecturer, Assistant Teaching Professor, Associate Teaching Professor, and Teaching Professor are advised by this section of the document, which intends to provide guidelines for evaluation by the College FT Faculty Promotion Committee.

Although there can be exceptions, positions above the first level ranks are designed to be promotion opportunities, with a recommended period of at least five years in the first level ranks before consideration for promotion. Promotions should be accompanied by a promotion raise, in addition to

a merit raise, to be determined and funded by the College. There is no set time limit for promotion to the third level rank. Reviews for promotion to this rank should be conducted solely with regard to the merit of the candidate.

In general, the types of evidence that must be accumulated and presented for promotion for these teaching and learning ranks include a record of courses taught or developed, input from others evaluating this teaching, a record of mentoring and the development of an area expertise in the field of teaching and learning. The guideline for evaluating evidence presented for promotion through these ranks should demonstrate notable transitions from "positively influencing learning within their own classes" to "having an impact on the actions of other teachers," to "establishing themselves as a role model for other programs."

Annual in-course teaching evaluations are recommended and an evaluation by the head or associate head semi-annually. The promotion dossier should include evidence of teaching effectiveness including a summary SRTE scores; placement of students advised; mentored student publications; impact of students' projects on professional practice; agency or company responses to the program/course. The candidate should describe each course developed, substantial revisions with explanation. The candidate should describe curriculum changes initiated/conducted as required by professional practice. The department head (or their designee) is encouraged to provide a written summary of SRTEs addressing the overall tone and key opinions.

II.A. General Criteria Guidelines for Promotion in *Teaching and Learning*:

	Assistant Teaching Professor (w/out terminal degree)	**Associate Teaching Professor (with or w/out terminal degree)**	**Teaching Professor (with terminal degree)**
Quality and Productivity	• Demonstrates involvement in teaching, the development of new materials and mentoring of others • Works to improve the teaching and learning environment within the classes they teach	• Provides evaluative evidence that demonstrates a high quality of accomplishment in their area of teaching and learning • Provides evidence that demonstrates a productive and positive pattern of work over a significant period of time	• Has produced materials or other works that have influenced the practice of others in their area of teaching and learning • Is consulted as an expert in their area of teaching and learning both within the university and beyond

	Assistant Teaching Professor (w/out terminal degree)	Associate Teaching Professor (with or w/out terminal degree)	Teaching Professor (with terminal degree)
Recognition / Significance	• Attends professional development events and contributes to the work of their area of interest	• Presents examples of their teaching and learning work at national conferences • Demonstrates efforts that have positively affected the teaching and learning environment in classes other than their own, or which has significantly improved a program of study. Is sought by others for advice	• Is invited to serve on panels or provide keynote presentations at national conferences • Is recognized internationally for their work in their area of teaching and learning • Has established a renowned record of teaching and learning over a significant period of time that has influenced the practice of others
Sustainability	• Establishes a strong teaching and learning record • Works to stay up to date with best practices founded in current research	• Can demonstrate how their teaching and learning record has expanded or developed over time, and how this development shows potential for continued growth • Works to improve their own understanding by engaging in professional development activities	• Demonstrates efforts that have created lasting significance for future teachers in their area • Attained advanced certification or degree in support of their area of expertise

II.B. Evidence to help demonstrate criteria levels in *Teaching and Learning* may include:

Course/Teaching-Related:

- List of courses taught in resident instruction at Penn State for each semester with enrollments for each course
- List of courses and workshops taught in support of outreach-based instruction, including

continuing in distance education, service learning courses, international programs, cooperative extension programs, and clinical assignments at Penn State

- List of new courses authored or courses re-designed for offering either for resident or online instruction
- List of online courses taught in distance education programs at Penn State for each semester with enrollments
- Faculty input concerning evaluation of teaching effectiveness, including any statements from colleagues who have visited the candidate's classroom and evaluated his or her teaching, or who are in a good position to evaluate outreach-based instructional advising
- Peer review shall consider a range of teaching activities including, but not limited to, the development of materials such as case studies, class assignments, coursework teaching portfolios, advising, research collaboration, and graduate student mentoring. Internal letters about teaching effectiveness should be included in this section
- Any statements from administrators that attest to the candidate's teaching and advising effectiveness

Student/Mentor-Related:

- List of advising responsibilities
- Supervision of graduate and undergraduate dissertations, theses, projects, autographs, performances, productions and exhibitions required for degrees; types of degrees and years granted
- Supervision of other undergraduate research
- Membership on undergraduate degree candidates' committees
- Involvement in faculty development experiences related to teaching and learning, i.e., mentoring, seminars taught or internships led

Materials-Related:

- Teaching materials available as supplementary materials, including such items as case studies and teaching portfolios
- List of materials, animations, tools, assessments, videos, podcasts or other instruction materials developed for courses, seminars or other educational experiences offered at Penn State

Other Evidence:

- Other evidence of resident and/or outreach-based teaching and advising effectiveness (e.g., performance of students and subsequent courses; tangible results and benefits derived by clientele; recipient of teaching awards)
- Research in teaching and learning related to program, courses, concepts or skills taught
- List of courses and workshops taken in supporting professional development efforts to stay up to date with best practices founded in current research

III. Research

For those FT faculty whose work is entirely focused within the research area, promotion among the ranks of Researcher, Assistant Research Professor, Associate Research Professor, and Research Professor are advised by this section of the document, which intends to provide guidelines for evaluation by the College FT Faculty Promotion Committee.

Although there can be exceptions, positions above the first level ranks are designed to be promotion opportunities, with a recommended period of at least five years in the first level ranks before consideration for promotion. Promotions should be accompanied by a promotion raise, in addition to a merit raise, to be determined and funded by the College. There is no set time limit for promotion to the third level rank. Reviews for promotion to this rank should be conducted solely with regard to the merit of the candidate.

In general, the types of evidence that must be accumulated and presented for promotion for these research ranks include a record of funded projects, scholarly publications, creative accomplishments and/or technical assistance that demonstrates growth and development of an expert in the particular field(s) of endeavor. FT faculty typically concentrate on one field of study but circumstances do change, thus a diversity of experience must also be taken into account during consideration for promotion. In addition, it is important to consider that many FT faculty's positions have been financially supported entirely by grants. In general, a guideline for evaluating evidence presented for promotion through these ranks should demonstrate notable transitions from “working for someone” to “working with someone,” to “directing the work of others.”

III.A. General Criteria Guidelines for Promotion in *Research*:

	Assistant Research Professor (w/out terminal degree)	**Associate Research Professor (with or w/out terminal degree)**	**Research Professor (with terminal degree)**
Quality and Productivity	• Publishing in prestigious/referred journals (preferably) • Listed as lead author or single author publications • Contributes to proposals and manages funding project objectives and reports to contractors • Presents research at technical meetings and contributes to the literature as author or co-author	• Solid record of publications in prestigious/referred journals • Strong evidence of lead author or single author publications • Increasing number of citations from major journals • Demonstrates a record of developing new areas of research and obtaining funds • Directs others in project management and reporting • Consistently authors and co-authors peer-review papers and book chapters	• Substantial number of publications in prestigious/referred journals • Substantial number of lead author or single author publications • Substantial number of citations from major journals • Produced information having significant influence in the field(s) of endeavor • Provides direction for the areas of research to be funded nationally and/or internationally • Other significant publications, e.g., books, policy and white papers

Recognition / Significance	• Participation at international meetings • Beginning to obtain grants from major funding agencies • Participation in international field experiment • Begins to establish themselves in the field and contributes to technical or learned societies	• Expertise is sought by others—internal and external—to the University; i.e., industry, government agencies, other Universities • Evidence of invited talks at international meetings • Evidence of invited talks at major universities and laboratories • Record of success in obtaining sponsored research from major funding agencies • Record of serving as co- investigator or principal investigator on sponsored research • Organizes and develops technical meetings for learned societies • Invited lecturer and consultant	• Significant number of invited talks at international meetings • Significant number of invited talks at prestigious institutions • Significant number of large grants from major funding agencies • Long-term record to serve as principal investigator on sponsored research • Service on national and international panels and committees • Editorship of a prestigious journal • Leader of an international field experiment • Is invited to serve on panels or provide keynote presentations at national conferences • Is recognized internationally for their work in their area(s) of expertise • Regularly consulted as an expert in their field(s)

	Assistant Research Professor (w/out terminal degree)	Associate Research Professor (with or w/out terminal	Research Professor (with terminal degree)
Sustainability	• Establishes a strong reputation in the field of endeavor • Works to develop the scientific principles underlying the research	• Can demonstrate how their research has expanded, developed or changed over time, and can show the potential for continued growth and diversity	• Demonstrates efforts that have created lasting significance in their field(s) of expertise • Has established a record of renown in their field(s) of research over a significant period of time that has influenced the general practice of the science • Demonstrated long-term history of interacting with a wide array of program sponsors and overseeing research programs as principal investigator

III.B. Evidence to help demonstrate criteria levels in *Research*:

Evidence to help demonstrate criteria levels in Research may include the following. This evidence should be listed in standard bibliographic form with the most recent data first:

Research and/or Scholarly Publications

Publications should be listed as follows:

1. Articles published in refereed (or peer reviewed) journals
2. Books
3. Parts of books
4. Book reviews
5. Articles published in non-refereed journals
6. Articles published in in-house publications
7. Research reports to sponsor
8. Manuscripts accepted for publication (substantiated by letter of acceptance) - indicate if peer reviewed and number of pages of manuscript
9. Manuscripts submitted for publication, with an indication of where submitted and when - indicate if peer reviewed and number of pages of manuscript
10. Manuscripts in progress
11. Cooperative extension bulletins and circulars
12. Patented materials and intellectual property, patent submissions

Creative Accomplishments

- Exhibition, installation, production or publication of original works of architecture, design, electronic media, journalism, literature
- Papers presented at technical and professional meetings (include meeting and paper titles); indicate if you were the presenter
- Record of participation in, and description of, seminars and workshops (short description of activity, with titles, dates and sponsors, etc.); indication of role in the seminar or workshop, e.g., student, invited participant, etc.
- Description of outreach or other activities in which there was significant use of candidate's expertise (consulting, journal editor, reviewer for referred journals or presses, peer reviewer of grants, speaking engagements, services to government agencies, professional and industrial associations, education institutions, etc.

Funded projects, grants, commissions and contracts (date, title, where submitted, amount):

1. Completed
2. In progress
3. Proposed

Other evidence of research for creative accomplishments as appropriate (patents, intellectual property, new product development, citation index analysis, etc.):

- Record of pursuit of advanced degrees and/or further academic studies
- Record of membership in professional and learned societies
- Description of new computer software programs developed
- Patents and intellectual property
- Description of new methods of teaching established courses and/or programs
- List of honors or awards for scholarship or professional activity
- List of grants and contracts or improvement of instruction, with an indication of the candidate's role in preparing and administering grants and contracts
- Applications of research scholarship in the field including new applications developed and tested; new or enhanced systems and procedures demonstrated or evaluated for government agencies, professional and industrial associations, educational institutions, etc.
- Technology transferred or adapted in the field
- Technical assistance provided
- Other evidence of impact and society of research scholarship and creative accomplishments

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IV. Service

Service describes participation and/or assistance in events and tasks that contribute to the larger communities within the employee's influence. These communities could exist within the department/college and the University, within society (engagement/outreach as a University employee), within the societies and professional organizations connected with the expertise of the employee, or within university-based sponsored research activities. In general, a guideline for evaluating evidence presented for promotion through these ranks should demonstrate notable transitions from "serving various communities" to "leading in service to communities", to "initiating or providing direction for new avenues of service".

IV.A. General Criteria Guidelines for Promotion in *Service*:

	Assistant Teaching/Research Professor (w/out terminal degree)	**Associate Teaching/Research Professor (with or w/out terminal degree)**	**Teaching/Research Professor (with terminal degree)**
Quality and Productivity	• Demonstrates involvement in one or more communities • Engages community with positive attitude • Demonstrates involvement and strives for improvement • Encourages peers to be aware of events and participate	• Provides evaluative evidence which demonstrates leadership in services to relevant communities • Engages in diverse service activities within the college, university or discipline • Serves as an advocate involving others in service	• Initiates or oversees the development of new services to communities with the college, university or discipline, or outside the University
Recognition / Significance	• Is viewed as a valued member in service area • Service provided furthers the goals of the department, college, or University	• Service provided is viewed as a role model either inside and outside the University	• Is sought out as an expert in a particular service area inside and outside the University • Invited to serve in influential service positions inside and outside the University

Sustainability	• Establishes a record of consistent service • Strives to meet the goals of service	• Demonstrates a consistent capacity to meet and exceed service goals • Has progressively expanded their service record over time and demonstrates future growth potential in the service area • Service contributes to the involvement of others and involves long-range impacts	• Has established an exemplary record of service over time that is viewed by others as exceptional because of its potential influence on future service endeavors

IV.B. Evidence to help demonstrate criteria levels in *Service* may include:

Service to the University:

1. Record of committee work at campus, college, department and university levels
2. Participation in campus and/or university wide governance bodies and related activities
3. Record administrative support work (College Representative, faculty mentoring, etc.)
4. Record of contributions to the university's programs to enhance equal opportunity and cultural diversity
5. Assistance to student organizations
6. Other

Service to Society as a Representative of the University (limit the list to those activities that use the candidate's professional expertise):

1. Participation in community affairs
2. Service to governmental agencies at the international, federal, state and local levels
3. Service to business and industry
4. Service to public and private organizations
5. Service to citizen/client groups
6. Testifying as an expert witness
7. Other (e.g., participation task forces, authorities, meetings, etc. of public, nonprofit or private organizations)

Service to the Disciplines and to the Profession:

1. Organizing conferences, service on conference committees
2. Active in relevant professional and learned societies (e.g., offices held, committee work, and other responsibilities)

V. Administration

Administration describes a management and leadership role in programs that serve the mission of College of Earth and Mineral Sciences. This role may encompass responsibilities such as the management of personnel and budget, outreach endeavors, the development of new revenue opportunities, strategic planning, and program evaluation. In general, a guideline for evaluating evidence presented for promotion through these ranks should demonstrate notable transitions from "effectively directs a component of a program within a unit" to "serves as a role model in the administration of unit-level programs," to "provides administrative leadership and mentoring to 'mission critical' programs both within the college and university."

V.A. General Criteria Guidelines for Promotion in *Administration*:

	Assistant Teaching/Research Professor (w/out terminal degree)	**Associate Teaching/Research Professor (with or w/out terminal degree)**	**Teaching/Research Professor (with terminal degree)**
Quality and Productivity	• Effectively directs a component of a program within a unit • Successfully demonstrates ability to meet program goals	• Serves as a role model in the administration of unit-level programs • Administrative approach opens up new areas for development and opportunity within program	• Provides administrative leadership and mentoring to 'mission critical' programs both within the college and university • Administrative approaches demonstrate significant success and growth such that they serve as a model that other programs work to implement
Recognition / Significance	• Receives positive recommendations from program faculty, peers and supervisor/unit leader	• Program receives significant accolades from within the University • Program is viewed as a significant contributor to the college's mission	• Program is viewed as a leading example that is having a positive impact within a disciplinary community • Program receives accolades from national or international organizations
Sustainability	• Maintains positive working relationships among staff • Manages budget within constraints • Seeks added value by networking with peers across	• Instrumental in developing the careers of program staff • Innovative fiscal and other management approaches provide for long-term program sustainability	• Play a role in the mentoring of other individuals who are in administrative positions • Program leadership is looked to as a model of innovative and sustainable practice

V.B. Evidence to help demonstrate criteria levels in *Administration* may include:

- Involvement in program evaluation procedures either for internal review or external accreditation
- People supervised
- Projects managed
- Project-dollars under management
- Letters from sponsors
- Governmental agencies/organizations with whom the FT faculty member has routine contact
- Proposals written or reviewed
- Mentoring or supervisees/employees
- Student mentoring (e.g., mentoring of UG, Grads, and Post-DOC, Club or group advisor)
- Service jobs to departments or institutes, college, university, and/or outside the university (e.g., User facilities [AMPL, MTL, MCL], Student Recruiting, etc.)
- Programs developed and/or implemented that meet the goals of the unit, College and/or University
- Honors and/or awards for service from non-academic and non-research organizations