Standard Administrative Policy and Procedure

Subject: Criteria and Sources of Information for Reappointment, Tenure and Promotion
Number: UW SAP 2-7.3

I.   PURPOSE

To describe criteria for reappointment, tenure, and promotion decisions and to provide examples of sources of information that may be used in the reappointment, tenure, and promotion review.

II.   POLICY

The recruitment, advancement, and retention of excellent faculty are essential to serving the land-grant and flagship missions of the University. The University is committed to providing high-achieving faculty with career-advancement opportunities and promotion structures to support and reward continuous academic excellence. The main criteria for reappointment, promotion, and tenure decisions are creative development, advancement of knowledge, and dissemination of knowledge. These criteria may be demonstrated in the primary functions of teaching, including mentoring graduate and undergraduate students; scholarship, including research, creative contributions, and research-driven innovation and entrepreneurial activities; extension; outreach, engagement, and service to the state of Wyoming; professional service; and other University related activities and services.

Candidates for reappointment, promotion, or tenure must be evaluated on the academic functions they are expected to perform. The programmatic needs and directions of the University will also be considered in reappointment and tenure cases.

A candidate's records shall be evaluated on the quality of performance within the academic functions that have been performed. The evaluations will appropriately recognize the proportionate time allocated to each of the candidate's job duties.

Candidates for tenure and promotion to Associate Professor shall have a record that reflects both the commitment and the promise to sustain a career-long record of effective teaching and scholarship/creative activity at the forefront of knowledge. The record shall also reflect, as appropriate to the job duties and expectations, active community engagement, outreach, service, and extension to the university, profession, and state. In addition to the expectations for Assistant Professors, promotion decisions for Associate Professors being considered for the rank of Professor shall hinge on the depth, level, and national or

international scope and recognition of the candidate's contributions to the discipline and the University's land-grant mission.

Given the broad array of programs, departments, and schools across campus, this policy recognizes that these units should have sufficient expertise and purview to create standards and expectations for tenure and promotion. *Documented, discipline specific and mission-driven criteria shall be developed by academic units to inform candidates and their reviewers about expectations for tenure and promotion.* These criteria must be based on best practices, not minimal performance. The responsibilities of faculty members for each of these activities will vary, depending upon the mission and needs of the academic unit and the expertise and interests of the faculty. UW recognizes that a faculty member's activities may change over a career and is committed to the use of differentiated responsibilities for individual faculty. Hence, in the evaluation process, reasonable flexibility should be exercised; balancing, as the case requires, heavier responsibilities in one area against lighter responsibilities in another.

III.   ACADEMIC FUNCTIONS AND SOURCES OF INFORMATION

A.   **Teaching and Mentoring.** The university strives to achieve excellent teaching and mentoring that gives students the knowledge, ability, determination, innovation, and critical-thinking skills to meet tomorrow's challenges with sustainable solutions. Faculty are expected to contribute to the overall teaching mission of the unit, college, and university. The university values efforts that foster an inclusive learning environment for all students.

Teaching. Teaching includes the following practices in all course delivery formats:

1. Classroom teaching and working with students outside of classes on course material.

2. Theses, dissertations, plan B and other graduate student direction.

3. Directing individual and group study and practica.

4. Advising students on curriculum.

5. Preparation of teaching materials such as texts, readings, books, cases, course syllabi, bibliographies, computer programs, development of new courses, programs, and curricula, etc., for use by others as well as by the author.

6. Clinical teaching.

7. Community engaged teaching, including serving as a guest lecturer, connecting students with stakeholders in service learning, study abroad, applied internships, field experiences, on-site class projects or co-teaching

with community/industry/agencies. It also includes the co-development of programs with partners as well as coordination of community-led teaching.

The following are some possible sources of information concerning effective teaching:

1. Department head evaluations and peer evaluations.

2. Evaluation by other members of the team where team-teaching exists.

3. Formal evaluation by faculty peers that are separate from formative reviews that may be conducted by teaching mentors.

4. Student evaluations and other input from students.

5. Special recognition by student groups, faculty groups, or non-faculty groups.

6. Theses and dissertations completed under the faculty member's supervision (a consideration only for faculty members associated with graduate degree granting programs and serving on graduate examining committees).

7. Individual or group studies completed under a faculty member's supervision.

8. The development and leadership of new curriculum, significant program change, and structure within the individual's area of professional interest.

9. Presentations on teaching at other universities, organizations, seminars, etc.

10. Evaluation by community partners involved in collaborative or co-founded projects. Community-engaged teaching (often called "service learning" or 'experiential education") combines student learning goals with community action goals. Often this type of teaching is done within the context of a class project where the students apply the course content to community-based activities.

Mentoring. Mentoring is the process by which faculty provide meaningful guidance, motivation, emotional support, and role modeling to students to prepare them for their professional careers, to meet their professional and educational goals, and to build on knowledge and discipline-based skills. Mentorship dedicated to traditionally underrepresented groups is particularly valued.

The following are some sources of information concerning mentoring effectiveness:

1. Engagement in mentorship through professional and/or student organizations, living/learning communities, or other student programs.

2. Engagement in student advising or career development activities, including but not limited to student-led innovations and startups.

3. Feedback from students, employers, and peers.

4. Student rating forms, where applicable.

5. Student successes and outcomes, including but not limited to papers presented at conferences, admission to graduate programs, student-led innovations and startups under faculty membership, and employment record.

B. **Scholarship – Research, Creative Contributions, and Innovative and Entrepreneurial (I&E) Endeavors**

Research. Research includes scholarly activity conducted with the avowed purpose of discovering, creating, innovating, and adding to the knowledge in the field and thereby advancing theory and principles. The significance of this type of research is recognized when communicated in major academic and professional media. It also includes the expansion of ideas, theories, and principles and the interpretation of developed information, and the provision of further insights. The significance of this research depends upon the content and/or media of dissemination and/or measurable community impacts. Research is also conducted for the purpose of improving and/or facilitating the application and utilization of knowledge within applied professional fields and/or within the public sphere. The significance of this research depends upon content originality, contribution to the field, media of dissemination, and measurable community impact. Community-engaged research emphasizes stakeholder involvement in project development, community participatory research, and co-founding projects with community partners including collaboration with industry/agencies and joint problem-solving initiatives with educational and community partners. This research approach acknowledges the importance of publicly informed research including informing and contributing expertise, consultation utilizing community feedback, and involvement of stakeholders in development and conduct of research.

Disciplines vary in research traditions, methodologies, publication practices, and new trends in research such as the use of open science approaches and digital scholarship may be reflected in department expectations. A candidate's body of work should be evaluated on multiple criteria, including but not limited to intellectual independence, research productivity, quality and impact of research, and obtaining external funding where appropriate for their work. Ultimately, decisions about tenure and promotion should hinge on the substance of the scholarship and the candidate's overall contribution to the discipline as opposed to simple reliance on summary metrics.

Possible sources of information concerning *intellectual independence* include:

1. Evidence of publishing independently of doctoral and post-doctoral mentors. While new assistant professors may continue to publish with their mentors, candidates for promotion to associate professor are expected to have a record of research that clearly demonstrates independence.

2. Serving as PI and senior author on publications/research outputs and on extramural grants.

Possible sources of information concerning research *quality and productivity* include:

1. The extent to which the developed theory, principles, ideas, or concepts improve upon and advance the body of knowledge and/or show measurable impact, which may include open access scholarship and dissemination, and research related to advancing the educational aspects of one's academic specialty.

2. A pattern of sustained publication of research in peer-reviewed outlets at a rate appropriate for the candidate's research program (e.g., more time may be needed when conducting community-engaged research, using open science methods, conducting longitudinal research, or conducting research on difficult to reach populations). Publications that have either editorial boards or utilize outside reviewers to evaluate the quality, significance, creativity, or utility of submitted manuscripts shall usually carry higher significance in evaluation than the publications of trade associations or similar groups.

3. Grants from internal and external sources are often necessary to conduct research. The competitiveness of the grants received provides one indication of the quality of the proposed research. Grants from federal funding agencies are often highly competitive and require extensive proposal preparation and review by external panels. In contrast, seed grants from colleges, while also competitive, require less extensive proposals and internal review. The monetary values of the grants should be sufficient to accomplish research in the field but are not specifically an indication of quality. In general, lack of grants shall not of itself disqualify a candidate for promotion or tenure. However, this may be an expectation in some disciplines. Academic units shall document the expectation of securing extramural funding if this is a standard in the discipline.

4. Awards from internal and external sources for research products provide a clear indication of research quality and significance. Lack of awards, however, shall not disqualify a candidate for promotion or tenure.

5. Written comments from reviewers outside of the University.

6. In applied areas, a test of quality of research is its usefulness. In community engaged research, a test of quality of research is evaluation of partner development, addressing a community need, and the evaluation of project partners and experts from the community.

7. Applied research or community-based research that may or not be funded externally, e.g., demonstration projects, policy analysis, evaluation research, or needs assessment.

Examples of research outputs include:

1. Articles and Monographs: Items in this category are of a nature that would attract constructive attention in the academic or professional field and tend to bring credit to the author and the University. For purposes of evaluation, book reviews, published cases, and survey studies may be viewed as articles and will be evaluated according to the tests of quality.

2. Presentations delivered at academic and professional meetings, colloquiums, and symposiums.

3. Published books, depending on nature of material, including open educational repositories/resources (OER), if quality has been established through an appropriate disciplinary process.

4. Development of products leading to patents or intellectual property (IP) disclosures.

5. Research tools, instruments, code, and data and the open sharing of those resources to the extent ethically and legally permitted.

6. Involvement in community-engaged research aimed at addressing social issues that lead to publication or public policy.

7. Digital scholarship that leverages new technologies and digital data to advance research.

Creative Contributions. Creative contributions include sustained artistic endeavors and commitment in design, curation, composition, expression, and/or performance demonstrating a high level of skill obtained through experience, study, or observation and that in turn results in an aesthetic experience measurable on a comparative basis with other creative accomplishments within a given area and accorded knowledgeable peer approval within a separate discipline.

Community engaged creative activities emphasize partner involvement and collaboration in project development, including community based participatory activities and co-founding projects with external partners. Scholarship and creative

activity are based on a high level of professional expertise; must give evidence of originality; must be documented and validated as through peer review, critique, or validation by evidence of societal or discipline usage/benefit; and must be communicated in appropriate ways so as to demonstrate significant impact for the public and/or for the discipline itself.

1. Within the field of music, a creative contribution or artistic endeavor could include solo and ensemble performances, composition and creative arranging, and the directing and conducting of musical ensembles and productions, including performances in collaboration with partners, and publication of scholarly work.

2. Within the field of theatre/dance, a creative contribution or artistic endeavor could include directing/choreography, scenic and costume design, technical direction, and acting or individual performance, including performances in collaboration with partners, and publication of scholarly work.

3. Within the field of visual arts, a creative contribution or artistic endeavor could include design work, digital media, drawing, painting, printmaking, sculpture, site-specific work, installation, metalsmithing, ceramics, photography, performance, exhibition curation and organization, and the public presentation of this work as defined below.

4. Within the field of writing, a creative contribution or artistic endeavor could include composition or prose, fiction, drama, or poetry and the publication or presentation of such compositions.

5. Contribution to knowledge, expression, or activity of creative discipline or field that is made available to or generated in collaboration with the public.

The following are some possible sources of information concerning the quality of creative contributions:

1. Knowledgeable peer approval within a given area.

2. Knowledgeable evaluation of the artistic endeavor outside the immediate community (e.g., criticism, reviews, testimony, solicited reviews, and/or partner feedback).

3. Invited performances, conferences, festivals, workshops, lectures, consultations, group exhibitions, solo exhibitions, juried exhibitions, exhibitions in print, design work, exhibition curation, commissions, and acceptance into public or private collections.

4. Honors, prizes, and awards in artistic competition.

Innovative and Entrepreneurial (I & E) Endeavors. Innovation is the process of transforming new and creative ideas into a commercial reality or that otherwise benefits the mission of the University of Wyoming. The concept of innovation, as applied to academia, provides the added component to scholarship of how such creativity can be applied in a way that it may also be commercially beneficial, and/or result in additional revenue streams for the institution and the innovator. Entrepreneurship is the creation or production of value due to some activity, where there is typically some significant level of risk involved. The impact of innovative and entrepreneurial endeavors may be demonstrated in a variety of types of scholarship, from fundamental/basic research to translational research to applied research.

The following are some sources of information concerning I&E endeavors.

1. Intellectual Property

2. Sponsored Research

3. Use and Licensing

4. Entity Creating

Examples include:

1. Intellectual Property: patent applications, patent, copyrights (including software), trademarks, tangible property (e.g., cell lines), trade secrets & know how, germplasm protection, invention disclosures, novel data products, novel processes & procedures, installation of creative works, commissioned works.

2. Sponsored Research: industry sponsored activities (contracting and material transfer agreements, research, services and testing), non-profit and foundation support, government commercialization programs (e.g., STTR and SBIR grants, NSF PFI, and state and/or local funding opportunities).

3. Use and Licensing: licensed intellectual property and technologies (e.g., database access, cultivar and software releases, and novel animal models for industrial use), royalties generated, usage of product/service/methods, discipline and/or unit-specific evidence of societal impact.

4. Entity Creation: startup/spinout organizations (including for-profit, non-profits and foundations to allow for broad recognition of societal impact) founded on specific university intellectual property including funds raised/follow-on funding (e.g., private and public commercialization funds beyond SBIR/STTR, private equity investment), revenue/funds generated, and people impacted & people employed.

C.   **Extension**

Extension provides educational development, leadership development, and collaborative activities to people throughout the state by bringing evidenced-based science and modern technologies to ranchers, farmers, consumers, families, and other residents of the state's rural communities, cities, and towns. Extension activities can overlap with community engagement when the university and community dually participate for the purpose of enriching a faculty member's scholarship *and* solving a community problem (i.e., community-engaged research), or of enhancing the curriculum, teaching, and learning at UW while *at the same time* giving residents the knowledge and skills needed to address a community problem (i.e., community-engaged teaching).

The following are some sources of information concerning extension effectiveness:

1.   Feedback from learners, volunteers, clients, stakeholders and collaborators.

2.   Learner evaluation forms and other short-term impact assessments, where applicable.

3.   Requests for services.

4.   Advisory councils, committees, and elected officials.

5.   Intra-state, regional, and national utilization of educational programs and materials.

6.   Peer and learner review of educational programs developed for delivery via distance education modalities.

D.   **Community Engagement and Outreach**

Community engagement is a reciprocal partnership with the community, involving mutually beneficial exchange of knowledge, including the creation/co-creation, delivery and assessment of timely, unbiased educational materials and programs that address relevant, critical and emerging issues. It should empower people in ways that result in desired outcomes, informed decisions, and/or improved quality of life.

Outreach is the application of one's professional expertise that addresses a community-identified need and supports the goals and mission of the university. Unlike engagement, which is done *with* the community, outreach is done *for* the community. This type of activity is typically captured in a faculty member's job description as professional service.

A simple count of number of activities or audience numbers does not accurately represent the depth and breadth of outreach and engagement activities. Measures of intensity of the partnership need to take the activities 'as a whole' to acknowledge uni-direction transfer of expertise, a mixture of collaborative, mutually determined, reciprocal, and two-way flows of ideas. Likewise, evaluation of educational outputs should strive to assess educational outcomes/impacts and characterize tangible benefits to the community.

The following are sources of information concerning *community engagement and outreach.*

1.   Feedback and evaluation from students, peers/colleagues, constituents, partners/collaborators, and clients including evaluation forms, where applicable.

2.   Requests for educational outputs or services, collaborations with community partners, government units, non-profits, volunteers, youths, individual community members, and K-12/community college partners.

3.   Organizing or leading workshops, conferences, collaborative decision-making and problem-solving processes, and other events with campus and/or off-campus partners and publics.

4.   Community-based professional practice or research/creative activity application, program development and innovation, or products of innovative programs and/or services.

5.   Definitive professional practice reviews, case reports, technical reports from collaborative projects, authorship of extension publications, local or regional "practice" publications, multimedia products, and other educational materials peer reviewed and/or adopted and used by peers/partners/constituents.

6.   Practices developed through teaching, research, and service activities leading to documentable adoption by appropriate community at local, regional levels, national, or global level.

7.   Advising partners or co-development of projects/practices including with government agencies, industries, educational, or professional groups.

8.   Providing students with community-engaged experiences to prepare them to be engaged citizens and leaders.

9.   Clinical work and performance that provides benefit outside of the university community.

10. Knowledge generated by the university to the public through the commercialization of discoveries.

E. **Professional Service and University-Related Service/Activities.**

Professional service refers to work that draws upon one's professional expertise and is an outgrowth of one's academic discipline and implies the use of academic and professional expertise of university faculty to serve academic disciplines, communities, the state, the nation, and the world. Professional service may include:

1. Consultation and technical assistance: Faculty member uses the expertise of his/her academic discipline but there may be no tangible product such as a report, invention, or painting. This can include assistance to entrepreneurs and efforts to advance economic development.

2. Participation in University extension, continuing education, and other professional service instruction in form of workshops, seminars, institutes, or one-on-one instruction that are not part of a traditional course load.

3. Clinical and diagnostic work and performance, which is an integral part of one's academic position.

4. Work associated with furthering one's field within professional societies or state or regional organizations external to the University.

5. Reviewing or evaluating the professional accomplishments of other individuals or organizations external to the University.

6. Reviewing manuscripts from appropriate journals and other media as part of the necessary peer-review process.

7. Reviewing proposals for funding agencies.

8. Service within the academic community including work associated with scholarly professional societies, state organizations or regional organizations external to the University (at the local, state, national, and international levels), such as offices held, committee memberships, review on review teams, reports written, editorial positions, ad hoc review requests, review boards, etc.

When professional service activities are offered as evidence of performance, it is the responsibility of the faculty member to show how the respective activities contributed to the mission of the University, its prestige, the community, one's professions, or the administrative unit. The following are some sources of information concerning *professional service* quality.

1. A test of quality of applied research is its usefulness to its audience.

2. In-house publications such as manuals, bulletins, or other forms of information releases.

3. Unpublished materials and other items prepared for limited distribution.

4. Requests to act as expert witnesses, juror of works of art, or reviewers of manuscripts and proposals.

5. Professional association contributions such as serving as an officer or journal editor.

6. Evaluations by students and participants of professional service of instruction sponsored by either the University or by other organizations.

7. Value of inventions, patents, or other creative products.

8. Evaluations of clinical work performance by the clients/audience and/or external professional peers.

University-Related Service/Activities include the obligations that a faculty member may have other than teaching, research, creative contributions, extension, outreach and engagement, professional service, and administration to a faculty area, a department, a college, and/or the University. Examples include contributing membership on the Faculty Senate; ad hoc committees or standing committees of the University; contributing membership on ad hoc committees or standing committees of colleges, departments, or divisions.

The following are some sources of information concerning *university service* quality.

1. Accomplishments of the committee, task force, etc.

2. Examples of specific projects or policies developed by the committee, etc.

3. Letters from administrators attesting meritorious service.

IV. Collegiality as a Component of Academic Performance

Civility and collegiality are essential traits that the successful candidate must demonstrate to be an effective member of the professoriate. Students succeed when faculty work willingly and effectively with colleagues. When lack of collegiality reaches a level that inhibits the university's ability to engage students, conduct the business of the department, college/school, or university, or recruit talented colleagues, a supervisor has a valid reason

to rate the performance lower and peer reviewers have valid reasons to address collegiality in their recommendations. Eccentricity, lack of sociability, or ideological differences, in and of themselves, do not constitute a lack of collegiality. Actions taken for alleged non-collegiality must be supported by factual and documented evidence that the person's conduct has seriously impaired the ability of the department, college, or University to carry out its functions. For more information, refer to the [Academic Affairs Pythian Paper on Best Practices for Considering Collegiality and Service as Components of Academic Performance](#), and the AAUP Report, "[On Collegiality as a Criterion for Faculty Evaluation](#)."