# Draft: Role, Scope, Criteria, Standards and Procedures

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## College of Letters and Science

Department of Mathematical Sciences

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1 Role and Scope

Each department and college shall develop and annually review a document describing its role and scope, defining its responsibilities and obligations in furtherance of the mission of the University, and setting forth the criteria, standards and procedures for review of faculty members. If the document is not updated annually, the last updated and approved document shall be effective.

Role, scope, criteria, standards and procedures documents shall be approved by the department faculty, department head, the college dean, the RSCSP Committee, and the Provost and Vice President for Academic Affairs.

1.1 University Role and Scope
The Role and Scope of the Institution devolves from the mission:

_Montana State University, the State’s land-grant institution, educates students, creates knowledge and art, and serves communities, by integrating learning, discovery, and engagement._

Montana State University-Bozeman is committed to undergraduate and graduate education, research\(^1\), and professional and public service\(^2\) and outreach to the state, region, nation, and globe.

Faculty dedicated to this mission produce substantial benefits for society, including advances in fundamental and applied knowledge, technological innovation, new aesthetic experiences, improved health and well-being, and a broadly educated citizenry.

1.2 College Role and Scope
The faculty, staff, and administrators in the College of Letters and Science support the fulfillment of the Institution’s teaching, research, and service mission in the area(s) of Humanities, Mathematics, Natural Sciences and Social Sciences. The College is made up of the following departments:

- Agricultural Economics and Economics
- Cell Biology and Neuroscience
- Chemistry and Biochemistry
- Earth Sciences
- Ecology
- English
- History, Philosophy and Religious Studies
- Mathematical Sciences

\(^1\) In this document the term “research” is sometimes used for brevity, but it should always be understood to refer to “research/creative activity”, since this is the term used in the criteria and standards for promotion and tenure.

\(^2\) In this document the term “service” is sometimes used for brevity, but it should always be understood to refer to “service/outreach”, since this is the term used in the criteria and standards for promotion and tenure.
• Microbiology
• Modern Languages and Literatures
• Native American Studies
• Physics
• Political Science
• Psychology
• Sociology and Anthropology

The College is home to the following research centers and institutes:

• Center for Bio-Inspired NanoMaterials
• Center for Computational Biology
• Montana Space Grant Consortium
• Montana State University Humanities Institute
• Optical Technology Center
• Spatial Sciences Center
• Spectrum Lab
• Thermal Biology Institute
• Wheeler Center for Public Policy
• WWAMI

The College sponsors the following service and outreach programs:

• Local Government Center
• Math Learning Center
• University Writing Center

1.3 Department Role and Scope

The faculty, staff, and administrators in the Department of Mathematical Sciences support the fulfillment of the Institution’s teaching, research, and service mission in the areas of Applied Mathematics, Mathematics, Mathematics Education, and Statistics.

TEACHING

The Department of Mathematical Sciences educates students pursuing degrees in the areas named above but also plays a substantial role in the general education of Montana State University students by delivering about 10% of the total student credit hours on campus. By providing most of the Core 2.0 Q courses, it contributes to the educational experience of all undergraduate students at the University. Many of its more advanced courses serve students enrolled in post-baccalaureate programs offered by other departments.

The Department offers the following degree programs:
• B.S. in Mathematics
  o Option in Applied Mathematics
  o Option in Mathematics
  o Option in Mathematics Teaching
  o Option in Statistics
• Minor in Mathematics
• Minor in Statistics
• M.S. in Mathematics
  o Mathematics Option
  o Mathematics Education Option
• M.S. in Statistics
• Graduate Certificate in Applied Statistics
• Ph.D. in Mathematics (Pure, applied, mathematics education)
• Ph.D. in Statistics

RESEARCH

Pure and applied mathematics are vibrant areas of research where major advances are currently made both in the development of mathematical theory and in the use of existing theory in applied problems. In pure mathematics, the emphasis is on discovering new mathematical phenomena, formulating and solving deep problems, and perfecting the exposition of the theory. In applied mathematics, the focus is on bringing mathematical tools to bear on concrete problems in other sciences and engineering; in particular, value is placed on the ability to communicate across disciplinary boundaries. Pure and applied mathematics cross-fertilize and complement each other; they are separated less by the rather fluid intellectual boundary than by the style of work and the greater funding opportunities for applied research. The Department of Mathematical Sciences is a site of world-class research in both pure and applied mathematics.

Faculty research areas in Applied Mathematics and Mathematics include:
• Computational Mathematics
• Ergodic Theory and Dynamical Systems
• Mathematical Biology and Neuroscience
• Mathematical Modeling
• Numerical Analysis and Optimization
• Ordinary and Partial Differential Equations
• Real and Complex Analysis
• Topology and Geometry

The field of statistics is the study of the collection, organization, presentation, analysis, and interpretation of data. It includes the planning of data collection methods as in the design of surveys, experiments, and observational studies, exploratory analysis with graphical and analytic tools, and techniques to ensure appropriate inference to answer research questions while taking design limitations
into account. Statistics research can be theoretical, applied, or a mix of the two. Theoretical research typically involves development of new statistical methods and/or derivation of the properties of statistical methods with results suitable for publication in statistics journals. Applied statistics research involves the novel and/or sophisticated application of statistical methods to real problems, and is usually interdisciplinary in nature. The results of applied research are suitable for publication in applied statistical journals and/or in scientific journals of other subject areas. Statistical contributions in such journals are valued because of the integral role statistical inference plays in the advancement of all sciences. Scientists in many areas are using more and more complex statistical methods which need to be checked for statistical validity, so such contributions are critically important. Research in statistics education may involve any of the above tasks as well as the creation of new teaching methods and curricula and the evaluation of curricula and methods of delivery.

Faculty research areas in Statistics:

- Bayesian Statistics
- Biostatistics
- Computational Statistics
- Design of Experiments
- Ecological and Environmental Statistics
- Functional Data Analysis
- Philosophy of Statistics
- Nonparametric Statistics
- Quality Control
- Spatial Statistics
- Statistics Education
- Time Series

The field of mathematics education is the study of mathematics teaching and learning. It has roots in the scholarship of both disciplines of mathematics and educational theory and practice. It is grounded in mathematics content through the study of curriculum and mathematical practice and is generally carried out through social science research methods, including both qualitative and quantitative analysis. Mathematics education research at Montana State University adopts an applied approach. Research activities address issues of mathematics content and classroom practice and how these promote learners' mathematical proficiency. Research efforts often focus on the development and ongoing support of K-12 mathematics teachers, adding a dimension of outreach to the research program. Mathematics education faculty members publish articles addressing basic research in mathematics education. In addition, contributing to practitioner journals, designing and conducting professional development, and obtaining external funding are considered integral to mathematics education research.

Faculty research areas in Mathematics Education:
• Effective models of face-to-face and online professional development
• How classroom teaching interacts with and influences student learning
• Mathematical content knowledge needed by in-service and pre-service teachers
• Types and quality of field experiences for pre-service teachers

SERVICE

The faculty provides service at the department, college, university, professional and community levels through, among other things, committee membership, reviewing and refereeing, conference and session organization, and consulting. Faculty provide consultation to researchers across campus and to schools and off-campus firms. The faculty provide extensive professional service to the State of Montana, the Montana Council of Teachers of Mathematics, local school districts and national teacher organizations. In addition, the Department manages one of the largest online master’s programs for mathematics teachers in the United States.

The Department supports service and outreach through the following activities of individual faculty:

University Service

• Providing mathematical and statistical consulting and collaboration to research scientists in other University departments
• Serving on department, college and university committees

Public Service and Outreach

• Implementing statewide and national professional development for K-12 mathematics teachers
• Offering a nationwide distance-delivered master’s degree program for secondary teachers
• Providing mathematical and statistical consulting to businesses, government agencies and school districts.

Professional Service

• Collaborating with state agencies to improve Montana education and resource management
• Organizing professional conferences
• Participating in professional organizations
• Serving as editors of professional journals and other products
• Serving as referees of publications and grant proposals

2 Workload

The faculty and department head in each department will develop written workload expectations for the department. The dean and provost will review the proposed workload expectations taking into account the department's level of activity in the degree programs it offers and the role and scope documents of the departments and college. [CBA_{NTT} 7.03]
2.1 University Workload

Workload is expressed in terms of the number of credits per year that a full time faculty member would be expected to teach if he or she had a 100% teaching appointment. The number of credits such an individual would be expected to teach is termed the total workload value.

- For NTT faculty the CBA specifies a total workload value of 30 credits per year. [CBA\textsubscript{NTT} 7.03]]
  
  Note: The CBA\textsubscript{NTT} [7.03] specifies that:
  
  o NTT faculty who were appointed on a 12-credit per semester threshold for 1.0FTE determination as of Fall 2011 have the right to remain at that threshold (i.e., total workload value = 24 credits per year) through June 30, 2013 (i.e., for the duration of the current CBA) if they continue to be employed.

  o NTT faculty who were appointed on a 15-credit per semester threshold for 1.0FTE determination as of Fall 2011 shall remain at that threshold if they continue to be employed.

- The total workload value for TT faculty at MSU is 24 credits per year.

Few, if any, TT faculty have a 100% teaching assignment. Instead, each faculty member has role assignments that specify the percentage of the faculty member’s time that should be spent on teaching, research, and service.

The difference between the NTT and TT total workload values reflects different expectations of these groups of faculty. In particular, TT faculty are expected to perform such tasks as attending the meetings necessary to keep the institution functioning, and providing professional advising and guidance to students. When NTT faculty members engage in these basic institutional support activities, the time spent on such activities should be accounted for in the NTT faculty member’s workload.

2.1.1 Responsibility to Manage Workload

The department head is responsible for the department’s contributions to the college and university teaching, research and service missions. Each department is required to provide instructional staff to cover the department’s teaching commitment. [CBA\textsubscript{NTT} 7.03] Therefore the department head is responsible for adjusting individual role assignments to ensure that the department’s obligations and budgetary constraints are met.

2.1.2 Individual Teaching, Research, and Service Loads

The teaching load is the number of credits that a faculty member would be expected to teach. This value is calculated based on the total workload value, and the individual’s role assignment (i.e., % teaching).\textsuperscript{3}

\textsuperscript{3} If a faculty member is part time (FTE < 1.0), the faculty member’s FTE must be accounted for. Non-
(total workload value) x (% Teaching) = teaching load

Research and service loads are similarly computed using the *total workload value*, and the individual’s *role assignment*. Like the teaching load, the research and service loads are expressed as credits per year. This should be understood to mean an invested effort equivalent to a teaching load of the same number of credits per year. There should also be research or service productivity proportional to the invested effort.

2.1.3 Authority to Adjust Role Assignments
Each faculty member’s *teaching, research, and service loads* depend on the faculty member’s role assignment. Role assignments may vary widely between faculty members, even within a single department. A faculty member’s role assignments may vary over time. It is recommended that faculty members discuss role assignments with their department heads during annual reviews. Annual review forms will provide a mechanism for updating role assignments.

Changing a faculty member’s role assignment is typically initiated by the faculty member or a department head when necessary. Any change in role assignment is at the discretion of the department head, requires approval by the dean of the college, and must be documented in the faculty member’s file.

2.2 College Workload
The College of Letters and Science has adopted the University policies and procedures for adjusting and documenting role assignments.

2.3 Department Workload
The Department of Mathematical Sciences has adopted the College’s policies and procedures for adjusting and documenting role assignments.

3 Annual Reviews
All TT faculty members will be reviewed annually. Union-represented NTT faculty members are required to have annual reviews starting in their third consecutive year of employment.

Annual review assesses the faculty member’s performance over the preceding calendar year with the major aim of improvement (“formative”) and is based on the faculty member’s letter of hire, role statements, annual assignments, self-assessment, and review of the individual’s performance.

3.1 Annual Reviews: University Requirements
Annual review procedures may vary by college and department, but must include the following elements:

* tenured TT faculty members are not allowed to work less than 1.0 FTE. [BOR Policy 702.1]
All faculty members will provide data on their activities over the preceding year. This data must be submitted no later than the end of January. Individual colleges or departments may specify an earlier date. Annual reviews will cover the faculty member’s activities and accomplishments in the preceding calendar year. All areas of the faculty member’s responsibility must be reviewed. Annual reviews must be completed by the end of March. Annual review documents must be communicated to the college dean by March 31. Annual review documents are retained as part of the faculty member’s personnel file.

While annual reviews of TT faculty take place in early Spring semester, department heads may elect to schedule annual reviews of NTT faculty in Fall semester, if desired. Merit rankings will be based on the annual review results.

3.2 Annual Reviews: College Requirements
In the College of Letters and Science, each department head will assign a proposed annual review score to each faculty member. These proposed scores are reported to the Dean by the end of February. The Dean will review the scores for inter-departmental consistency. If inconsistencies are identified, the Dean will meet with the department heads to resolve the issue. Department heads will provide each faculty member with their final annual review score by March 31.

3.3 Annual Reviews: Department Requirements
The Department of Mathematical Sciences adopts the College of Letters and Science’s procedures for annual review.

3.3.1 Procedure for Annual Reviews
The Executive Committee will designate a committee of four tenure track faculty to evaluate all TT faculty. Similarly, the Executive Committee will designate four NTT faculty to evaluate all NTT’s.

4 Retention, Tenure and Promotion: Tenure-Track Faculty
Significant differences exist between the criteria and standards for various types of faculty, and as such they will be presented separately:

- Section 4: Tenure-Track Faculty
- Section 5: Non-Tenure-Track Faculty
- Section 6: Research Faculty

Criteria represent categories of performance (what was done) while standards represent a level of accomplishment (how much and how well it was done). Evidence (new in this document) indicates the types of information that can be used to demonstrate performance.

The standards for TT faculty are:
- Effectiveness
• Accomplishment
• Excellence

4.1 Applicability of Standards

The standards listed above are the current University standards for retention, tenure, and promotion – but faculty members are permitted to use prior RSCSP documents (which, prior to 2011, did not have the “Accomplishment” standard) as follows:

• Retention Review – candidates are expected to use the RSCSP document in effect when the faculty member was hired.
• Tenure and Promotion to Associate Professor Review – candidates may use the RSCSP document in effect when the faculty member was retained, or may elect to use the current RSCSP document.
• Promotion to Professor Review – candidates must use the current RSCSP document.

4.1.1 Area of Emphasis
Candidates for tenure and promotion reviews must indicate an area of emphasis.

• TT faculty with instructional expectations: The candidate chooses either teaching or research. Candidates must choose only one.
• TT faculty with professional practice expectations: The candidate chooses either teaching, research, or service unless the area of emphasis is specified in the candidate’s letter of hire or subsequent appointment document.

The area of emphasis is not used during retention reviews. Candidates for retention reviews should not indicate an area of emphasis.

4.2 Joint Appointments
The following additional procedures must be followed for TT faculty holding joint appointments in two departments, or a department and a center:

• Joint appointments must be approved by all relevant department heads; center directors; deans; the Vice President of Research, Creativity, and Technology Transfer; and the Provost.
• Joint appointments are recorded as part of the faculty member’s personnel file.
• The faculty member has one home department. This is the department with the larger percentage of the faculty member’s appointment. In the case of an even split, the designation of home department must be determined when the joint appointment is made.
• Annual, retention, tenure, and promotion reviews use the procedures and committees of the home department.
• If the faculty member’s joint appointment is greater than 20% in the non-home department, the

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4 “TT faculty with instructional expectations” is the term used for faculty members at Montana State University who have assigned responsibilities in all three areas: teaching, research, and service.
department head or center director from the non-home department or center will provide a written evaluation of the faculty member’s activities relative to assigned responsibilities in the non-home department or center to the home department head prior to any annual, retention, tenure, and promotion review. This evaluation will be included in any retention, tenure, or promotion dossier, and will be part of the home department’s review of the faculty member.

4.3 Retention Reviews
All TT faculty members are reviewed for retention during the third year of service unless one or more years of credit towards tenure were awarded when the faculty member was hired. A faculty member with years of credit towards tenure will be reviewed for retention as specified in their letter of hire or during the second year of service.

4.3.1 Standards: Retention Review: TT Faculty
A candidate for retention must meet the following standards:

- Sustained effectiveness in every area of assignment.
- Promise of future effectiveness in every area of assignment.

4.3.1.1 Definition of Effectiveness
Candidates must demonstrate sustained effectiveness in each area of assignment.

- Faculty performance in teaching, research/creative activity, and service will be judged effective if it demonstrates competent execution of scholarly activities and products, in both quantity and quality.

“Potential for continuing effectiveness” is demonstrated by continuity of performance over time.

For TT faculty with instructional expectations, the areas of assignment are teaching, research, and service. For TT faculty with professional practice expectations, the areas of assignment are specified in the candidate’s letter of hire.

In-depth assessments of teaching, research and service are not included as part of a retention review dossier (unless required by department or college).

External reviews are not included as part of a retention review dossier (unless required by department or college).

4.3.2 Criteria: Retention Review: TT Faculty

4.3.2.1 University Retention Review Criteria: TT Faculty – Sustained Effectiveness
The University criteria are examples of typical performance by many faculty members across campus, but it is understood that the items in these criteria lists may not apply universally to all disciplines. The Colleges and Departments should address this issue and provide lists of criteria that apply to faculty in their units.
Teaching Criteria – Sustained Effectiveness and Promise of Future Effectiveness
- Foster student learning (undergraduate learning, graduate student mentoring)
- Guide student academic progress (advising)
- Organize, deliver, and manage courses (teaching)

Research Criteria – Sustained Effectiveness and Promise of Future Effectiveness
- Define and develop research ideas, create successfully funded grant proposals
- Manage a research program
- Produce MS and/or PhD graduates
- Publish research products (peer-reviewed papers and presentations)

Service Criteria – Sustained Effectiveness and Promise of Future Effectiveness
- Support the development of the faculty member’s discipline (professional service)
- Support the functioning of the Institution (University service)
- Take the knowledge available through the Institution out to the public (public service)

4.3.2.2 College Retention Review Criteria: TT Faculty – Sustained Effectiveness
The College criteria are examples of typical performance by many faculty members in the College of Letters and Science, but it is understood that the items in these criteria lists may not apply universally to all disciplines with the College of Letters and Science. Departments should address this issue and provide lists of criteria that apply to faculty in their units.

Teaching Criteria – Sustained Effectiveness and Promise of Future Effectiveness
The College of Letters and Science adopts the criteria of the University for sustained effectiveness and promise of future effectiveness in teaching.

Research Criteria – Sustained Effectiveness and Promise of Future Effectiveness
The College of Letters and Science adopts the criteria of the University for sustained effectiveness and promise of future effectiveness in research.

Service Criteria – Sustained Effectiveness and Promise of Future Effectiveness
The College of Letters and Science adopts the criteria of the University for sustained effectiveness and promise of future effectiveness in service.

4.3.2.3 Department Retention Review Criteria: TT Faculty – Sustained Effectiveness
Teaching Criteria – Sustained Effectiveness and Promise of Future Effectiveness
The Department of Mathematical Sciences adopts the College criteria for sustained effectiveness and promise of future effectiveness in teaching.

Research Criteria – Sustained Effectiveness and Promise of Future Effectiveness
The Department of Mathematical Sciences adopts the College criteria with the following refinements and additions for sustained effectiveness and promise of future effectiveness in research:
- Produce quality refereed publications
• Produce technical reports and conference proceedings
• Produce books, book chapters, or monographs
• Deliver talks at conferences and at other institutions
• Create research related software

Depending on the area represented by the faculty member under review (Applied Mathematics, Mathematics, Mathematics Education, Statistics), the individual criteria will be evaluated with an understanding of differences between the areas regarding the quantitative metrics of the scholarly output (e.g. the publishing rate, the level of grant support, etc.). Additionally, scholarship that focuses on the methods of teaching in mathematics, statistics, and mathematics education is considered research/creative activity.

**Service Criteria – Sustained Effectiveness and Promise of Future Effectiveness**
The Department of Mathematical Sciences adopts the College criteria for sustained effectiveness and promise of future effectiveness in service with the caveat that, while service activities are expected of every faculty member, the expectations prior to the tenure review are reduced in order to allow the faculty member to develop his or her teaching and research program.

### 4.3.3 Evidence: Retention Review: TT Faculty
The following items are commonly used to demonstrate effectiveness in retention reviews. The lists are not intended to be exhaustive and candidates are not required to include every item. The goal is to document performance in each area of responsibility.

#### 4.3.3.1 University Retention Review Evidence: TT Faculty – Sustained Effectiveness

**Teaching Evidence – Sustained Effectiveness and Promise of Future Effectiveness**
Items required of all candidates with teaching assignments:

- Teaching statement
- Course list
- Summary of student evaluations*5
- Peer evaluations of teaching*

Additional items that could be included to demonstrate effectiveness (examples):
- Sample course materials
- Examples of assessment of student performance
- Honors and awards
- Student awards related directly to faculty member

**Research Evidence – Sustained Effectiveness and Promise of Future Effectiveness**

Items required of all candidates with research assignments:
- Research statement

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5 In some departments, student evaluations and peer evaluations are added to the candidate’s dossier by department staff or the primary review committee.
- List of proposals submitted with results
- List of research funding
- List of graduate and undergraduate students mentored
- List of research results: reports, conference presentations, refereed journal articles, conference articles, monographs, texts, juried works

**Service Evidence – Sustained Effectiveness and Promise of Future Effectiveness**
- Service statement
- Active participation in professional societies
- Leadership roles in professional societies
- Service on University, College, Department committees
- Journal and proposal reviews
- List of public service activities related to the discipline

**4.3.3.2 College Retention Review Evidence: TT Faculty – Sustained Effectiveness**

**Teaching Evidence – Sustained Effectiveness and Promise of Future Effectiveness**
The College of Letters and Science adopts the University list of evidence of sustained effectiveness and promise of future effectiveness in teaching.

**Research Evidence – Sustained Effectiveness and Promise of Future Effectiveness**
The College of Letters and Science adopts the University list of evidence of sustained effectiveness and promise of future effectiveness in research.

**Service Evidence – Sustained Effectiveness and Promise of Future Effectiveness**
The College of Letters and Science adopts the University list of evidence of sustained effectiveness and promise of future effectiveness in service.

**4.3.3.3 Department Retention Review Evidence: TT Faculty – Sustained Effectiveness**

**Teaching Evidence – Sustained Effectiveness and Promise of Future Effectiveness**
The Department of Mathematical Sciences adopts the College evidence list for sustained effectiveness and promise of future effectiveness in teaching with the following expansion of the list of additional items that could be included as evidence:
- Documentation of undergraduate advising, direction of undergraduate research, course supervision, and other activities involving direct contact with undergraduate students
- Documentation of graduate advising, direction of graduate research, substantive contribution to graduate committees, and administration of graduate examinations
- Documentation of participation in curriculum development/innovation or in curriculum-related faculty committees
- Testimonials from students or comments excerpted from teaching evaluations

**Research Evidence – Sustained Effectiveness and Promise of Future Effectiveness**
The Department of Mathematical Sciences adopts the College evidence list for sustained effectiveness and promise of future effectiveness in research with the following additions:

- Curriculum Vita
- Electronic copies of refereed articles (published, accepted, or under review)

Additional items could be included as evidence, for example, a list of colloquia, seminars, and other presentations.

**Service Evidence – Sustained Effectiveness and Promise of Future Effectiveness**

The Department of Mathematical Sciences adopts the College evidence list for sustained effectiveness and promise of future effectiveness in service with the following additions:

- List of roles on graduate committees in any department
- Description of any service in an editorial capacity
- List of professional service activities
- List of consulting activities is not required, but may be included

### 4.4 Tenure Reviews

The criteria and standards for tenure and promotion to Associate Professor are identical. In this section, the term “tenure review” is used to indicate this level of review.

Any candidate who has not already achieved the rank of Associate Professor will be reviewed for tenure and promotion to Associate Professor simultaneously. Tenure reviews are typically in the faculty member’s sixth year of service, but any years of credit towards tenure awarded at the time of hire will move the review forward.

Faculty members may choose to be reviewed for tenure and promotion to Associate Professor early (before their required review year) provided they can demonstrate an exceptionally meritorious case. The tenure and promotion reviews are not separated; it is not possible to be reviewed for promotion to Associate Professor without simultaneously being reviewed for tenure. Individuals considering early tenure review are strongly cautioned to consider the consequences of a failed tenure review.

An **in-depth assessment** of performance is required for each area of the candidate’s assignment. If the candidate has role assignments in teaching, research, and service, then three in-depth assessments of performance should be included with the dossier, with the following provision:

- When a candidate has a role assignment of no greater than 20% in one area, the in-depth assessment in that area can be performed by the primary review committee as the dossier is reviewed; a separate in-depth assessment document is not required.

External reviews are required as part of the in-depth assessment of the candidate’s area of emphasis. If the candidate’s area of emphasis is teaching, then external reviews of the candidate’s teaching performance should be obtained, and external reviews of research are not required (at least, not required by the university.) If the candidate’s area of emphasis is research, then external reviews of the candidate’s research performance should be obtained, and external reviews of teaching are not required (at least, not required by the university.)
4.4.1 Standards: Tenure Review: TT Faculty
The standards for tenure and promotion to Associate Professor are identical:

- Sustained effectiveness in every area of assignment
- Promise of future effectiveness in every area of assignment
- Accomplishment in the candidate’s area of emphasis

4.4.1.1 Definition of Effectiveness
Candidates must demonstrate sustained effectiveness in each area of assignment.

- Faculty performance in teaching, research/creative activity, and service will be judged effective if it demonstrates competent execution of scholarly activities and products, in both quantity and quality.

4.4.1.2 Definition of Accomplishment
Candidates must demonstrate accomplishment only in their area of emphasis.

Accomplishment:

A. Accomplishment in Teaching: Faculty performance in the scholarship of teaching will be judged accomplished if it:

1. demonstrates meritorious execution of scholarly activities and products related to teaching, in both quantity and quality,
2. receives recognition from peers and colleagues as having made positive contributions to the candidate’s discipline or profession, and
3. receives recognition from former students/clientele as having made positive contributions to their education.

B. Accomplishment in Research/Creative Activity: Faculty performance in research/creative activity will be judged accomplished if it:

1. demonstrates meritorious execution of scholarly activities and products, in both quantity and quality, and
2. receives recognition from peers and colleagues as having made positive contributions to the candidate’s discipline or profession.

4.4.2 Criteria: Tenure Review: TT Faculty
A candidate for tenure and/or promotion to Associate Professor must demonstrate sustained effectiveness and promise of future effectiveness in all areas of his or her assignment, and accomplishment in the area of emphasis.

4.4.2.1 University Tenure Review Criteria: TT Faculty – Sustained Effectiveness
Teaching Criteria – Sustained Effectiveness and Promise of Future Effectiveness
- Foster student learning (undergraduate learning, graduate student mentoring)
- Guide student academic progress (advising)
- Organize, deliver, and manage courses (teaching)

**Research Criteria – Sustained Effectiveness and Promise of Future Effectiveness**
- Define and develop research ideas, create successfully funded grant proposals
- Manage a research program
- Produce MS and/or PhD graduates
- Publish research products (peer-reviewed papers and presentations)

**Service Criteria – Sustained Effectiveness and Promise of Future Effectiveness**
- Support the development of the faculty member’s discipline (professional service)
- Support the functioning of the Institution (University service)
- Take the knowledge available through the Institution out to the public (public service)

4.4.2.2 College Tenure Review Criteria: TT Faculty – Sustained Effectiveness

**Teaching Criteria – Sustained Effectiveness and Promise of Future Effectiveness**
The College of Letters and Science adopts the University criteria for sustained effectiveness and promise of future effectiveness in teaching.

**Research Criteria – Sustained Effectiveness and Promise of Future Effectiveness**
The College of Letters and Science adopts the University criteria for sustained effectiveness and promise of future effectiveness in research.

**Service Criteria – Sustained Effectiveness and Promise of Future Effectiveness**
The College of Letters and Science adopts the University criteria for sustained effectiveness and promise of future effectiveness in service.

4.4.2.3 Department Tenure Review Criteria: TT Faculty – Sustained Effectiveness

**Teaching Criteria – Sustained Effectiveness and Promise of Future Effectiveness**
The Department of Mathematical Sciences adopts the College criteria for sustained effectiveness and promise of future effectiveness in teaching. An in-depth assessment of teaching effectiveness for a candidate whose area of emphasis is not teaching does not require external evaluations and will be conducted by the primary review committee.

**Research Criteria – Sustained Effectiveness and Promise of Future Effectiveness**
The Department of Mathematical Sciences adopts the College criteria with the following refinements and additions for sustained effectiveness and promise of future effectiveness in research [as copied from 4.3.2.3]:
- Produce quality refereed publications
- Produce technical reports and conference proceedings
- Produce books, book chapters, or monographs
- Deliver talks at conferences and at other institutions
• Create research related software

An in-depth assessment of research effectiveness for a candidate whose area of emphasis is not research will be conducted by the primary review committee; however, external evaluations of research are required in this case.

Depending on the area represented by the faculty member under review (Applied Mathematics, Mathematics, Mathematics Education, Statistics), the individual criteria will be evaluated with an understanding of differences between the areas regarding the quantitative metrics of the scholarly output (e.g. the publishing rate, the level of grant support, etc.). Additionally, scholarship that focuses on the methods of teaching in mathematics, statistics, and mathematics education is considered research/creative activity.

Service Criteria – Sustained Effectiveness and Promise of Future Effectiveness
The Department of Mathematical Sciences adopts the College criteria for sustained effectiveness and promise of future effectiveness in service with the caveat that, while service activities are expected of every faculty member, the expectations prior to the tenure review are reduced in order to allow the faculty member to develop his or her teaching and research program.

An in-depth assessment of service effectiveness for a candidate whose area of emphasis is not service does not require external evaluations and will be conducted by the primary review committee.

4.4.2.4 University Tenure Review Criteria: TT Faculty – Accomplishment
For the tenure review, TT faculty must go beyond sustained effectiveness in one area, the candidate’s area of emphasis. In that area, the candidate must demonstrate accomplishment.

Teaching Criteria – Accomplishment
If the candidate is seeking tenure with a teaching emphasis, he or she must demonstrate a higher level of performance in this area. In general, it is expected that the candidate will demonstrate a deeper level of involvement in the teaching enterprise, and greater success. Examples include:
• Develop new, innovative approaches to teaching
• Generate scholarly (non-research) products (e.g., papers or presentations) that impact the discipline
• Impact the discipline beyond the walls of the classroom (e.g., texts or methods adopted by others, curriculum redesign)
• Succeed in pedagogical research
  o Define and develop research ideas, create successful grant proposals
  o Generate research products (papers and presentations) that impact the discipline

Research Criteria – Accomplishment
If the candidate is seeking tenure with a research emphasis, he or she must demonstrate a higher level of performance in this area. In general, it is expected that the candidate will demonstrate that he or she has built a foundation for a research effort that will significantly contribute to his or her discipline.
Examples include:
- Sustained ability to define and develop research ideas, create successful grant proposals
- Sustained ability to generate research products (papers and presentations) that impact the discipline

**Service Criteria – Accomplishment**

Service is rarely the area of emphasis, since it is not an option for TT faculty with instructional expectations. A TT faculty member with professional practice expectations could be hired with service specified as his or her area of emphasis. In this rare situation, the faculty member would need to document a higher level of performance in the service area than that expected for sustained effectiveness.

### 4.4.2.5 College Tenure Review Criteria: TT Faculty – Accomplishment

**Teaching Criteria – Accomplishment**
The College of Letters and Science adopts the University criteria for accomplishment in teaching.

**Research Criteria – Accomplishment**
The College of Letters and Science adopts the University criteria for accomplishment in research.

**Service Criteria – Accomplishment**
The College of Letters and Science adopts the University criteria for accomplishment in service.

### 4.4.2.6 Department Tenure Review Criteria: TT Faculty – Accomplishment

**Teaching Criteria – Accomplishment**
The Department of Mathematical Sciences adopts the College criteria for accomplishment in teaching.

**Research Criteria – Accomplishment**
The Department of Mathematical Sciences adopts the College criteria for accomplishment in research with the following refinements and additions. (There is an expectation of a higher level of performance, as compared to the criteria for sustained effectiveness and promise of future effectiveness.)
- Produce quality refereed publications
- Produce technical reports and conference proceedings
- Produce books, book chapters, or monographs
- Deliver talks at conferences and other institutions
- Create research related software

Depending on the area represented by the faculty member under review (Applied Mathematics, Mathematics, Mathematics Education, Statistics), the individual criteria will be evaluated with an understanding of differences between the areas regarding the quantitative metrics of the scholarly output (e.g. the publishing rate, the level of grant support, etc.) Additionally, scholarship that focuses on the methods of teaching in mathematics, statistics, and mathematics education is considered research/creative activity.


**Service Criteria – Accomplishment**
The Department of Mathematical Sciences adopts the College criteria for accomplishment in service.

### 4.4.3 Evidence: Tenure Review: TT Faculty

The following items are commonly used to demonstrate sustained effectiveness and promise of future effectiveness and accomplishment in tenure reviews. The lists are not intended to be exhaustive and candidates are not required to include every item. The goal is to document performance in each area of responsibility.

#### 4.4.3.1 University Tenure Review Evidence: TT Faculty

**Teaching Evidence**

Items required of all candidates with teaching assignments:

- Teaching statement
- Course list
- Summary of student evaluations\(^6\)
- Peer evaluations of teaching\(^6\)

Additional items that could be included to document performance (examples):

- Sample course materials
- Examples of assessment of student performance
- Honors and awards
- Student awards related directly to faculty member
- Publications in pedagogical journals
- Presentations
- Grant activity
- Student work samples
- Evidence of innovation
- Contributions beyond the classroom
- Educational portfolio

**Research Evidence**

Items required of all candidates with research assignments:

- Research statement
- List of proposals submitted with results
- List of research funding
- List of graduate and undergraduate students mentored
- List of research results: reports, conference presentations, refereed journal articles, conference articles, monographs, texts, juried works

Additional items that could be included to document performance (examples):

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\(^6\) In some departments, student evaluations and peer evaluations are added to the candidate’s dossier by department staff or the primary review committee.
• Invited papers and presentations, books, book chapters, review articles
• Professional assignments with technical committees, technical editing
• Awards or honors for research or similar recognition

Service Evidence
• Service statement
• Active participation in professional societies
• Leadership roles in professional societies
• Service on University, College, Department committees
• Journal and proposal reviews
• List of public service activities related to the discipline

4.4.3.2 College Tenure Review Evidence: TT Faculty

Teaching Evidence
The College of Letters and Science adopts the University lists of evidence for review of teaching.

Research Evidence
The College of Letters and Science adopts the University lists of evidence for review of research.

Service Evidence
The College of Letters and Science adopts the University lists of evidence for review of service.

4.4.3.3 Department Tenure Review Evidence: TT Faculty

To establish sustained effectiveness and promise of future effectiveness in tenure review, the Department of Mathematical Sciences adopts the same evidence as listed in section 4.3.3.3 (regarding the retention review). The evidence for accomplishment is as follows.

Teaching Evidence – Accomplishment
The Department of Mathematical Sciences adopts the College evidence list and requires five external evaluations of teaching innovation and practice. Additionally, the following may be included:

• Evidence of undergraduate advising, direction of undergraduate research, course supervision, and other activities involving direct contact with undergraduate students
• Evidence of graduate advising, direction of graduate research, and administration of graduate examinations
• Evidence of participation in curriculum development/innovation or in curriculum-related faculty committees
• Testimonials from students or comments excerpted from teaching evaluations

Research Evidence – Accomplishment
The Department of Mathematical Sciences adopts the College evidence list with the following required additions:

• Curriculum vita
• Electronic copies of refereed articles (published, accepted, or under review)
• Five external evaluations of research contributions

Additional items could be included as evidence, for example, a list of colloquia, seminars, and other presentations.

Service Evidence – Accomplishment
The Department of Mathematical Sciences adopts the College evidence list with the following additions:
• List of roles on graduate committees in any department
• Description of any service in an editorial capacity
• List of professional service activities
• List of consulting activities is not required, but may be included

4.5 Promotion Reviews

Reviews for promotion to Professor typically take place five or more years after the faculty member’s tenure review, but the timing of the promotion review is up to the faculty member.

An in-depth assessment of performance is required for each area of the candidate’s assignment. If the candidate has role assignments in teaching, research, and service, then three in-depth assessments of performance should be included with the dossier, with the following provision:

• When a candidate has a role assignment of no greater than 20% in one area, the in-depth assessment in that area can be performed by the primary review committee as the dossier is reviewed; a separate in-depth assessment document is not required.

External reviews are required as part of the in-depth assessment of the candidate’s area of emphasis. If the candidate’s area of emphasis is teaching, then external reviews of the candidate’s teaching performance should be obtained, and external reviews of research are not required (at least, not required by the university.) If the candidate’s area of emphasis is research, then external reviews of the candidate’s research performance should be obtained, and external reviews of teaching are not required (at least, not required by the university.)

4.5.1 Standards: Promotion Review: TT Faculty
The standards for promotion to Professor are:
• Sustained effectiveness in every area of assignment
• Promise of future effectiveness in every area of assignment
• Excellence in the candidate’s area of emphasis

4.5.1.1 Definition of Effectiveness
Candidates must demonstrate sustained effectiveness in each area of assignment.
• Faculty performance in teaching, research/creative activity, and service will be judged effective if it demonstrates competent execution of scholarly activities and products, in both quantity and quality.
4.5.1.2 Definition of Excellence
Candidates must demonstrate excellence only in their area of emphasis.

Excellence:

A. Excellence in Teaching: Faculty performance in the scholarship of teaching will be judged excellent if it:

1. Demonstrates sustained superior execution of scholarly activities and products related to teaching, in both quantity and quality,

2. Receives national recognition from peers and colleagues as having made significant, positive contributions to the candidate's discipline or profession, and

3. Receives recognition from former students/clientele as having made significant, positive contributions to their education.

B. Excellence in Research/Creative Activity: Faculty performance in research/creative activity will be judged excellent if it:

1. Demonstrates sustained superior execution of scholarly activities and products, in both quantity and quality, and

2. Receives national recognition from peers and colleagues as having made significant, positive contributions to the candidate's discipline or profession.

4.5.2 Criteria: Promotion Review: TT Faculty
A candidate for promotion to Professor must demonstrate sustained effectiveness and promise of future effectiveness in all areas of his or her assignment, and excellence in the area of emphasis.

4.5.2.1 University Promotion Review Criteria: TT Faculty – Sustained Effectiveness

Teaching Criteria – Sustained Effectiveness and Promise of Future Effectiveness
- Foster student learning (undergraduate learning, graduate student mentoring)
- Guide student academic progress (advising)
- Organize, deliver, and manage courses (teaching)

Research Criteria – Sustained Effectiveness and Promise of Future Effectiveness
- Define and develop research ideas, create successfully funded grant proposals
- Manage a research program
- Produce MS and/or PhD graduates
- Publish research products (peer-reviewed papers and presentations)

Service Criteria – Sustained Effectiveness and Promise of Future Effectiveness
- Support the development of the faculty member's discipline (professional service)
- Support the functioning of the Institution (University service)
Take the knowledge available through the Institution out to the public (public service)

4.5.2.2 College Promotion Review Criteria: TT Faculty – Sustained Effectiveness

Teaching Criteria – Sustained Effectiveness and Promise of Future Effectiveness
The College of Letters and Science adopts the University criteria for sustained effectiveness and promise of future effectiveness in teaching.

Research Criteria – Sustained Effectiveness and Promise of Future Effectiveness
The College of Letters and Science adopts the University criteria for sustained effectiveness and promise of future effectiveness in research.

Service Criteria – Sustained Effectiveness and Promise of Future Effectiveness
The College of Letters and Science adopts the University criteria for sustained effectiveness and promise of future effectiveness in service.

4.5.2.3 Department Promotion Review Criteria: TT Faculty – Sustained Effectiveness

Teaching Criteria – Sustained Effectiveness and Promise of Future Effectiveness
The Department of Mathematical Sciences adopts the College criteria for sustained effectiveness and promise of future effectiveness in teaching. An in-depth assessment of teaching effectiveness for a candidate whose area of emphasis is not teaching does not require external evaluations and will be conducted by the primary review committee.

Research Criteria – Sustained Effectiveness and Promise of Future Effectiveness
The Department of Mathematical Sciences adopts the College criteria for sustained effectiveness and promise of future effectiveness in research with the following refinements and additions [as copied from 4.3.2.3]:

- Produce quality refereed publications
- Produce technical reports and conference proceedings
- Produce books, book chapters, or monographs
- Deliver talks at conferences and other institutions
- Create research related software

An in-depth assessment of research effectiveness for a candidate whose area of emphasis is not research will be conducted by the primary review committee; however, external evaluations of research are required in this case.

Depending on the area represented by the faculty member under review (Applied Mathematics, Mathematics, Mathematics Education, Statistics), the individual criteria will be evaluated with an understanding of differences between the areas regarding the quantitative metrics of the scholarly output (e.g. the publishing rate, the level of grant support, etc.). Additionally, scholarship that focuses on the methods of teaching in mathematics, statistics, and mathematics education is considered research/creative activity.
Service Criteria – Sustained Effectiveness and Promise of Future Effectiveness

The Department of Mathematical Sciences adopts the College criteria for sustained effectiveness and promise of future effectiveness in service. An in-depth assessment of service effectiveness for a candidate whose area of emphasis is not service does not require external evaluations and will be conducted by the primary review committee.

4.5.2.4 University Promotion Review Criteria: TT Faculty – Excellence

For promotion to Professor, TT faculty must go beyond sustained effectiveness in one area, the candidate’s area of emphasis. In this area the candidate must demonstrate excellence.

Teaching Criteria – Excellence

If the candidate is seeking promotion with a teaching emphasis, he or she must demonstrate a high level of performance in this area. In general, it is expected that the candidate will demonstrate a level of involvement in the teaching enterprise that shows significant impact within and beyond the classroom. Examples include:

- Develop new, innovative approaches to teaching
- Generate scholarly (non-research) products (e.g., papers or presentations) that impact the discipline
- Impact the discipline beyond the walls of the classroom (e.g., texts or methods adopted by others, curriculum redesign)
- Succeed in pedagogical research
  - Define and develop research ideas and create successful grant proposals
  - Generate research products (papers and presentations) that impact the discipline

Research Criteria – Excellence

If the candidate is seeking promotion with a research emphasis, he or she must demonstrate a high level of performance in this area. In general it is expected that the candidate will demonstrate that he or she has contributed in a significant manner to his or her discipline. Examples include:

- Sustained ability to define and develop research ideas and create successful grant proposals
- Sustained ability to generate research products (papers and presentations) that impact the discipline

Service Criteria – Excellence

Service is rarely the area of emphasis since it is not an option for TT faculty with instructional expectations. A TT faculty member with professional practice expectations could be hired with service specified as his or her area of emphasis. In this rare situation, the faculty member would need to document a high level of performance in the service area, documenting significant impacts resulting from the candidate’s service efforts.

4.5.2.5 College Promotion Review Criteria: TT Faculty – Excellence

Teaching Criteria – Excellence

The College of Letters and Science adopts the University criteria for excellence in teaching.
Research Criteria – Excellence
The College of Letters and Science adopts the University criteria for excellence in research.

Service Criteria – Excellence
The College of Letters and Science adopts the University criteria for excellence in service.

4.5.2.6 Department Promotion Review Criteria: TT Faculty – Excellence

Teaching Criteria – Excellence
The Department of Mathematical Sciences adopts the College criteria for excellence in teaching.

Research Criteria – Excellence
The Department of Mathematical Sciences adopts the College criteria for excellence in research with the following refinements and additions. There is an expectation of a superior level of performance, as compared to the criteria for accomplishment (cf. 4.4.2.6) including national or international recognition of one’s work among peers.

- Produce quality refereed publications
- Produce technical reports and conference proceedings
- Produce books, book chapters, or monographs
- Deliver talks at conferences and other institutions
- Create research related software

Depending on the area represented by the faculty member under review (applied mathematics, mathematics, mathematics education, statistics), the individual criteria will be evaluated with an understanding of differences between the areas regarding the quantitative metrics of the scholarly output (e.g. the publishing rate, the level of grant support, etc.) Additionally, scholarship that focuses on the methods of teaching in mathematics, statistics, and mathematics education is considered research/creative activity.

Service Criteria – Excellence
The Department of Mathematical Sciences adopts the College criteria for excellence in service.

4.5.3 Evidence: Promotion Review: TT Faculty
The following items are commonly used to demonstrate sustained effectiveness and promise of future effectiveness and excellence in promotion reviews. The lists are not intended to be exhaustive and candidates are not required to include every item. The goal is to document performance in each area of responsibility.

Candidates are advised to consider their role assignments when determining the amount of information to present in each area. A candidate with a 70% assignment in research will be expected to show more evidence of research activity than a candidate with a 30% research assignment.
4.5.3.1 *University Promotion Review Evidence: TT Faculty*

**Teaching Evidence**

Items required of all candidates with teaching assignments:

- Teaching statement
- Course list
- Summary of student evaluations\(^7\)
- Peer evaluations of teaching\(^7\)

Additional items that could be included to document performance (examples):

- Sample course materials
- Examples of assessment of student performance
- Honors and awards
- Student awards related directly to faculty member
- Publications in pedagogical journals
- Presentations
- Grant activity
- Student work samples
- Evidence of innovation
- Contributions beyond the classroom
- Educational portfolio
- Classroom observations

**Research Evidence**

Items required of all candidates with research assignments:

- Research statement
- List of proposals submitted with results
- List of research funding
- List of graduate and undergraduate students mentored
- List of research results: reports, conference presentations, refereed journal articles, conference articles, monographs, texts, juried works

Additional items that could be included to demonstrate performance (examples):

- Invited papers and presentations, books, book chapters, review articles
- Professional assignments with technical committees, technical editing
- Awards or honors for research or similar recognition

**Service Evidence**

- Service statement
- Active participation in professional societies

\(^7\) In some departments, student evaluations and peer evaluations are added to the candidate’s dossier by department staff or the primary review committee.
• Leadership roles in professional societies
• Service on University, College, Department committees
• Journal and proposal reviews
• List of public service activities related to the discipline

4.5.3.2 College Promotion Review Evidence: TT Faculty

Teaching Evidence
The College of Letters and Science adopts the University lists of evidence for review of teaching.

Research Evidence
The College of Letters and Science adopts the University lists of evidence for review of research.

Service Evidence
The College of Letters and Science adopts the University lists of evidence for review of service.

4.5.3.3 Department Promotion Review Evidence: TT Faculty

To establish sustained effectiveness and promise of future effectiveness in promotion review, the Department of Mathematical Sciences adopts the same evidence as listed in section 4.3.3.3 (regarding the retention review). The evidence for excellence is as follows.

Teaching Evidence – Excellence
The Department of Mathematical Sciences adopts the College evidence list and requires five external evaluations of teaching innovation and practice. Other items which may be included are
• Evidence of undergraduate advising, direction of undergraduate research, course supervision, and other activities involving direct contact with undergraduate students
• Evidence of graduate advising, direction of graduate research, and administration of graduate examinations
• Evidence of participation in curriculum development/innovation or in curriculum-related faculty committees
• Testimonials from students or comments excerpted from teaching evaluations

Research Evidence – Excellence
The Department of Mathematical Sciences adopts the College evidence list with the following required additions:
• Curriculum vita
• Electronic copies of all refereed, post-tenure articles (published, accepted, or under review)
• Five external evaluations of research contributions

Additional items could be included as evidence, for example a list of colloquia, seminars, and other presentations.

Service Evidence – Excellence
The Department of Mathematical Sciences adopts the College evidence list with the following additions:
- List of roles on graduate committees in any department
- Description of any service in an editorial capacity
- List of professional service activities
- List of consulting activities is not required, but may be included

5 Advancement in Rank: Non-Tenure-Track Faculty

The NTT collective bargaining agreement provides the most detailed information on advancement in rank for NTT faculty (see Article 8 of the CBA\textsubscript{NTT}). The information provided here is intended to supplement and interpret the CBA.

5.1 Advancement in Rank: Non-Tenure-Track Faculty: Requirements

5.1.1 University Requirements

It is implicitly assumed in the NTT CBA that NTT faculty members are hired almost exclusively for teaching. While this is largely correct, there are NTT faculty members hired with other responsibilities. When such faculty members apply for advancement in rank the faculty member’s performance in all of his or her area(s) of responsibility will be reviewed.

The 2011-12 NTT CBA includes the following phrase in the criteria to be appointed at or promoted to every NTT rank above Instructor:

“...has a terminal degree appropriate to the field or department or equivalent professional experience (which may include professional certification)” [CBA\textsubscript{NTT} 8.05]

In general, the work performed as a NTT faculty member may not be considered as “equivalent professional experience”. In instances where it may be considered as equivalent professional experience, the rationale for the equivalency must be clearly documented by the Department Head.

NTT faculty members follow nearly the same procedures for advancement in rank as TT faculty, with the exceptions noted below. However colleges and departments may specify different requirements.

Exceptions:
- The candidate’s dossier contains only materials relevant to the candidate’s area(s) of responsibility.
- External reviews are not required.
- There are three levels of review of NTT faculty members:
  - Primary review committee
  - Department head
  - College dean
- The dean reports the results of the review to the department head who includes the result of the review in the faculty member’s personnel file.
5.1.2 College Requirements
The College of Letters and Science adopts the University requirements for NTT advancement in rank.

5.1.3 Department Requirements
The Department of Mathematical Sciences adopts the College of Letters and Science requirements for NTT advancement in rank, with the exception that work performed as a NTT faculty member may be considered as “equivalent professional experience.”

The Department of Mathematical Sciences recognizes two types of terminal degrees:
1. A Ph.D. or doctorate in an area of mathematical sciences.
2. A Master of Arts in Teaching in mathematics. (Note: a degree in a mathematical science combined with appropriate professional teaching experience can be considered equivalent to this terminal degree.)

5.2 Advancement to Assistant Teaching/Clinical/Visiting Professor
A NTT faculty member at the rank of Instructor typically applies for advancement to the rank of Assistant Teaching/Clinical/Visiting Professor after three years of service at an FTE of 0.75 or higher, or after six years of service at an FTE less than 0.75. Any years of credit toward advancement awarded at the time of hire will move the review forward. Years of credit are at the discretion of the hiring authority and can be awarded to account for high qualifications and/or experience of the faculty member.

5.2.1 Standards: Advancement to Assistant Teaching/Clinical/Visiting Professor
The standards for promotion to Assistant Teaching/Clinical/Visiting Professor are:
- A terminal degree appropriate to the field or department or equivalent professional experience
- Effectiveness in teaching

5.2.2 Criteria: Advancement to Assistant Teaching/Clinical/Visiting Professor

5.2.2.1 University Criteria: Advancement to Assistant Teaching/Clinical/Visiting Professor: NTT Faculty – Effectiveness
- Organize, deliver, and manage courses (teaching)
- Foster student learning

5.2.2.2 College Criteria: Advancement to Assistant Teaching/Clinical/Visiting Professor: NTT Faculty – Effectiveness
The College of Letters and Science adopts the University criteria for NTT advancement in rank to Assistant Teaching/Clinical/Visiting Professor.

5.2.2.3 Department Criteria: Advancement to Assistant Teaching/Clinical/Visiting Professor: NTT Faculty – Effectiveness
The Department of Mathematical Sciences adopts the College criteria for NTT advancement in rank to Assistant Teaching/Clinical/Visiting Professor.

5.2.3 Evidence: Advancement to Assistant Teaching/Clinical/Visiting Professor
The following items are commonly used to demonstrate effectiveness in reviews for advancement. The lists are not intended to be exhaustive and candidates are not required to include every item on each list.

5.2.3.1 University Review Evidence: Advancement to Assistant Teaching/ Clinical/Visiting Professor: NTT Faculty – Effectiveness

- Teaching statement
- Course list
- Summary of student evaluations
- Peer evaluations of teaching
- Sample course materials

5.2.3.2 College Review Evidence: Advancement to Assistant Teaching/ Clinical/Visiting Professor: NTT Faculty – Effectiveness

The College of College of Letters and Science adopts the University evidence list for effectiveness in teaching.

5.2.3.3 Department Review Evidence: Advancement to Assistant Teaching/ Clinical/Visiting Professor: NTT Faculty – Effectiveness

The Department of Mathematical Sciences adopts the College evidence list for effectiveness in teaching with the additional items:

- Documentation of design or redesign of courses
- Documentation of involvement in total year or years at Assistant in student services such as the Mathematics Learning Center

5.3 Advancement to Associate Teaching/Clinical/Visiting Professor

A NTT faculty member at the rank of Assistant Teaching/Clinical/Visiting Professor typically applies for advancement to the rank of Associate Teaching/Clinical/Visiting Professor after six years of service at an FTE of 0.75 or higher, or after twelve years of service at an FTE less than 0.75. Any years of credit toward advancement awarded at the time of hire will move the review forward. Years of credit are at the discretion of the hiring authority and can be awarded to account for high qualifications and/or experience of the faculty member.

5.3.1 Standards: Advancement to Associate Teaching/Clinical/Visiting Professor

The standards for promotion to Associate Teaching/Clinical/Visiting Professor are:

- A terminal degree appropriate to the field or department or equivalent professional experience
- Sustained effectiveness in teaching
- Accomplishment in teaching
- A commitment to remaining current in the candidate’s discipline

5.3.2 Criteria: Advancement to Associate Teaching/Clinical/Visiting Professor

5.3.2.1 University Criteria: Advancement to Associate Teaching/Clinical/Visiting Professor: NTT Faculty – Accomplishment
• Organize, deliver, and manage courses (teaching)
• Foster student learning
• Attends professional meetings and workshops, or uses other means to stay current

5.3.2.2 College Criteria: Advancement to Associate Teaching/Clinical/Visiting Professor: NTT Faculty – Accomplishment
The College of College of Letters and Science adopts the University criteria for NTT advancement in rank to Associate Teaching/Clinical/Visiting Professor.

5.3.2.3 Department Criteria: Advancement to Associate Teaching/Clinical/Visiting Professor: NTT Faculty – Accomplishment
The Department of Mathematical Sciences adopts the College criteria for NTT advancement in rank to Associate Teaching/Clinical/Visiting Professor.

5.3.3 Evidence: Advancement to Associate Teaching/Clinical/Visiting Professor
The following items are commonly used to demonstrate sustained effectiveness in reviews for advancement. The lists are not intended to be exhaustive and candidates are not required to include every item on each list.

5.3.3.1 University Review Evidence: Advancement to Associate Teaching/Clinical/Visiting Professor: NTT Faculty – Accomplishment
• Teaching statement
• Course list
• Summary of student evaluations
• Peer evaluations of teaching
• Sample course materials

5.3.3.2 College Review Evidence: Advancement to Associate Teaching/Clinical/Visiting Professor: NTT Faculty – Accomplishment
The College of Letters and Science adopts the University evidence list for accomplishment in teaching.

5.3.3.3 Department Review Evidence: Advancement to Associate Teaching/Clinical/Visiting Professor: NTT Faculty – Accomplishment
The Department of Mathematical Sciences adopts the College evidence list for accomplishment in teaching with the additional items:
• Documentation of design or redesign of courses
• Documentation of involvement in student services such as the Mathematics Learning Center

5.4 Advancement to Teaching/Clinical/Visiting Professor
A NTT faculty member at the rank of Associate Teaching/Clinical/Visiting Professor may apply for advancement to the rank of Teaching/Clinical/Visiting Professor after five years of service at an FTE of 0.75 or higher, or after ten years of service at an FTE less than 0.75. Any years of credit toward advancement awarded at the time of hire will move the review forward.
5.4.1 Standards: Advancement to Teaching/Clinical/Visiting Professor
The standards for promotion to Teaching/Clinical/Visiting Professor are:

- A terminal degree appropriate to the field or department or equivalent professional experience
- Excellence in teaching
- A commitment to remaining current in the candidate’s discipline
- Has made a significant contribution to the candidate’s discipline

5.4.2 Criteria: Advancement to Teaching/Clinical/Visiting Professor

5.4.2.1 University Criteria: Advancement to Teaching/Clinical/Visiting Professor: NTT Faculty – Excellence
- Organize, deliver, and manage courses (teaching)
- Foster student learning
- Stay current by attending professional meetings and workshops, or other means
- Impact the discipline beyond the walls of the classroom (e.g., texts or methods adopted by others)

5.4.2.2 College Criteria: Advancement to Teaching/Clinical/Visiting Professor: NTT Faculty – Excellence
The College of Letters and Science adopts the University criteria for NTT advancement in rank to Teaching/Clinical/Visiting Professor.

5.4.2.3 Department Criteria: Advancement to Teaching/Clinical/Visiting Professor: NTT Faculty – Excellence
The Department of Mathematical Sciences adopts the College criteria for NTT advancement in rank to Teaching/Clinical/Visiting Professor.

5.4.3 Evidence: Advancement to Teaching/Clinical/Visiting Professor
The following items are commonly used to demonstrate sustained excellence in reviews for advancement. The lists are not intended to be exhaustive and candidates are not required to include every item on each list.

5.4.3.1 University Review Evidence: Advancement to Teaching/Clinical/Visiting Professor: NTT Faculty – Excellence
Items required of all candidates:
- Teaching statement
- Course list
- Summary of student evaluations
- Peer evaluations of teaching
- Sample course materials

Additional items that could be included to demonstrate performance (examples):
- Publications in pedagogical journals
• Presentations
• Grant activity
• Examples of assessment of student performance
• Classroom observations
• Evidence of innovation
• Contributions beyond the classroom
• Educational portfolio

5.4.3.2 College Review Evidence: Advancement to Teaching/Clinical/Visiting Professor: NTT Faculty – Excellence
The College of Letters and Science adopts the University lists of evidence for excellence in teaching.

5.4.3.3 Department Review Evidence: Advancement to Teaching/Clinical/Visiting Professor: NTT Faculty – Excellence
The Department of Mathematical Sciences adopts the College lists of evidence for excellence in teaching with the additional items:
• Documentation of design or redesign of courses
• Documentation of involvement in student services such as the Mathematics Learning Center

6 Promotion Reviews: Research Faculty
Research faculty members have a 100% research assignment and the area of emphasis is research.

6.1 Promotion Reviews: Research Faculty: Requirements
University policy requires research faculty members to use the same criteria and standards for promotion as TT faculty except that only research performance is considered.

Research faculty members are reviewed using the processes and procedures of their home department.8

When the research faculty member has a significant commitment in a second department, or a research center or institute, the department head or director of the non-home department should provide a written evaluation of the candidate’s research performance for inclusion in the candidate’s dossier.

6.1.1 University Requirements
University policy requires research faculty members to use the same criteria and standards for promotion as TT faculty and to follow nearly the same procedures, with the exceptions noted below. However, colleges and departments may specify different requirements.

Exceptions:
• The candidate’s dossier contains only materials relevant to research.
• External reviews are required.
• There are two levels of review of research faculty members:

8 For Extension faculty, the home department may be an Agricultural Research Center.
The department head reports the results of the review to the dean and includes the result of the review in the faculty member’s personnel file.

### 6.1.2 College Requirements

In the College of Letters and Science, candidates for promotion are to follow the university requirements with the following additions:

- The two additional levels of review of research faculty members:
  - College review committee
  - College dean

### 6.1.3 Department Requirements

The Department of Mathematical Sciences adopts the College of Letters and Science requirements.

### 6.2 Promotion to Associate Research Professor: Criteria and Standards

The standards and criteria for promotion to Associate Research Professor are the same as those used for a TT faculty member, except the only area of responsibility is research.

Reviews for promotion to Associate Research Professor are typically in the faculty member’s sixth year of service or later. Any years of credit towards advancement awarded at time of hire will move the review forward.

An in-depth assessment of performance of the candidate’s research is required. External reviews are required as part of the in-depth assessment.

#### 6.2.1 Standards: Promotion to Associate Research Professor

The standard for promotion to Associate Research Professor is:

- Accomplishment in research.

#### 6.2.2 Criteria: Promotion to Associate Research Professor

A candidate for promotion to Associate Research Professor must demonstrate accomplishment in research.

##### 6.2.2.1 University Review Criteria: Promotion to Associate Research Professor – Accomplishment

**Research Criteria – Accomplishment**

The candidate for promotion to Associate Research Professor must demonstrate accomplishment in research. In general it is expected that the candidate will demonstrate that he or she has built a foundation for a research effort that will significantly contribute to his or her discipline. Examples include:

- Sustained ability to define and develop research ideas and create successful grant proposals
- Sustained ability to generate research products (papers and presentations) that impact the discipline
6.2.2.2 College Review Criteria: Promotion to Associate Research Professor – Accomplishment
Research Criteria – Accomplishment
The College of Letters and Science adopts the University criteria for accomplishment in research.

6.2.2.3 Department Review Criteria: Promotion to Associate Research Professor – Accomplishment
Research Criteria – Accomplishment
The Department of Mathematical Sciences adopts the College criteria for accomplishment in research with the following refinements and additions. (There is an expectation of a higher level of performance, as compared to the criteria for sustained effectiveness and promise of future effectiveness.)

- Produce quality refereed publications
- Produce technical reports and conference proceedings
- Produce books, book chapters, or monographs
- Deliver talks at conferences and other institutions
- Create research related software

Depending on the area represented by the faculty member under review (Applied Mathematics, Mathematics, Mathematics Education, Statistics), the individual criteria will be evaluated with an understanding of differences between the areas regarding the quantitative metrics of the scholarly output (e.g. the publishing rate, the level of grant support, etc.) Additionally, scholarship that focuses on the methods of teaching in mathematics, statistics, and mathematics education is considered research/creative activity.

6.2.3 Evidence: Promotion to Associate Research Professor

6.2.3.1 University Review Evidence: Promotion to Associate Research Professor – Accomplishment

The following items are commonly used to demonstrate accomplishment. The lists are not intended to be exhaustive and candidates are not required to include every item on each list.

Items required by all candidates:
- Research statement
- List of proposals submitted with results
- List of research funding
- List of research results: reports, conference presentations, refereed journal articles, conference articles, monographs, texts, juried works

Additional items that could be included to demonstrate performance:
- List of graduate and undergraduate students mentored
- Invited papers and presentations, books, book chapters, review articles
- Professional assignments with technical committees, technical editing
- Awards or honors for research or similar recognition
6.2.3.2 College Review Evidence: Promotion to Associate Research Professor - Accomplishment
The College of Letters & Science adopts the University lists of evidence for review of research.

6.2.3.3 Department Review Evidence: Promotion to Associate Research Professor - Accomplishment
The Department of Mathematical Sciences adopts the College evidence list with the following required additions:

- Curriculum vita
- Electronic copies of refereed articles (published, accepted, or under review)
- Three external evaluations of research contributions

Additional items could be included, for example, a list of colloquia, seminars, and other presentations.

6.3 Promotion to Research Professor: Standards and Criteria
The standards and criteria for promotion to Research Professor are the same as those used for a TT faculty member, except the only area of responsibility is research.

Reviews for promotion to Research Professor are typically at least five years after the faculty member’s promotion to Associate Research Professor.

An in-depth assessment of performance of the candidate’s research is required. External reviews are required as part of the in-depth assessment.

6.3.1 Standards: Promotion to Research Professor
The standard for promotion to Research Professor is:

- Excellence in research

6.3.2 Criteria: Promotion to Research Professor
A candidate for promotion to Research Professor must demonstrate excellence in research.

6.3.2.1 University Review Criteria: Promotion to Research Professor – Excellence
Research Criteria - Excellence

The candidate for promotion to Research Professor must demonstrate excellence in research. In general it is expected that the candidate will demonstrate that he or she has contributed in a significant manner to his or her discipline. Examples include:

- Sustained ability to define and develop research ideas, create successful grant proposals
- Sustained ability to generate research products (papers and presentations) that impact the discipline

6.3.2.2 College Review Criteria: Promotion to Research Professor – Excellence
The College of Letters and Science adopts the University criteria for excellence in research.

6.3.2.3 Department Review Criteria: Promotion to Research Professor – Excellence
The Department of Mathematical Sciences adopts the College criteria for excellence in research with the following refinements and additions:

**Research Criteria – Excellence**
The Department of Mathematical Sciences adopts the College criteria for excellence in research with the following refinements and additions. There is an expectation of a superior level of performance, as compared to the criteria for accomplishment (cf. 6.2.2.3) including national or international recognition of one’s work among peers.

- Produce quality refereed publications
- Produce technical reports and conference proceedings
- Produce books, book chapters, or monographs
- Deliver talks at conferences and other institutions
- Create research related software

- Depending on the area represented by the faculty member under review (applied mathematics, mathematics, mathematics education, statistics), the individual criteria will be evaluated with an understanding of differences between the areas regarding the quantitative metrics of the scholarly output (e.g. the publishing rate, the level of grant support, etc.) Additionally, scholarship that focuses on the methods of teaching in mathematics, statistics, and mathematics education is considered research/creative activity.

**6.3.3 Evidence: Promotion to Research Professor**

**6.3.3.1 University Review Evidence: Promotion to Research Professor – Excellence**
The following items are commonly used to demonstrate excellence. The lists are not intended to be exhaustive and candidates are not required to include every item on each list.

Items required by all candidates:
- Research statement
- List of proposals submitted with results
- List of research funding
- List of research results: reports, conference presentations, refereed journal articles, conference articles, monographs, texts, juried works

Additional items that could be included to demonstrate performance:
- List of graduate and undergraduate students mentored
- Invited papers and presentations, books, book chapters, review articles
- Professional assignments with technical committees, technical editing
- Awards or honors for research or similar recognition

**6.3.3.2 College Review Evidence: Promotion to Research Professor - Excellence**
The College of Letters and Science adopts the University lists of evidence for review of research.

**6.3.3.3 Department Review Evidence: Promotion to Research Professor - Excellence**
The Department of Mathematical Sciences adopts the College evidence for excellence in research with the following additions:

**Research Evidence – Excellence**
The Department of Mathematical Sciences adopts the College evidence list with the following required additions:

- Curriculum vita
- Electronic copies of refereed post-promotion articles (published, accepted, or under review)
- Five external evaluations of research contributions

Additional items could be included, for example, a list of colloquia, seminars, and other presentations.

**7 Retention, Tenure, Promotion, and Advancement Review Procedures**
The procedures for retention, tenure, promotion, and advancement reviews are specified in the following sections of the collective bargaining agreements:

- NTT: Article 8
- Research Faculty: Follow the procedures used by TT faculty, with the exceptions noted in Section 6.1 of this document.

**7.1 Timelines**
Note: If a timeline must be adjusted, notification of the department head, college dean, and provost is required, but a full review of the Role and Scope document is not required if only the timeline is changed. The administrators are responsible for notifying their faculty of the change.

**7.1.1 University Timelines**
The timelines shown here are a mixture of:

- **University deadlines** – these deadlines do not change.
- **Time estimates** – these should be specified in the College and Department sections if different values are used in different units.
- **Typical values** – these time values may slide slightly from year to year, but earlier reviews (department and college level reviews) must be completed in time for University-level reviews.

**7.1.1.1 University Timeline for Retention Reviews**
1. **September 1**: Candidate submits completed dossier to department head
2. **September 7**: Department staff submit dossier electronically
3. **September 15-30**: Department Review*
4. **October 15-30**: College Review*
5. **November 15-30**: University Retention, Promotion and Tenure Committee (URPTC) Review*
6. **December 1-15**: Provost’s Review*
7. **January 1-15**: President’s Decision*
Committees and administrators have 10 days after the review period to notify the candidate and add their letters to the candidate’s dossier.

7.1.1.2 University Timeline for Tenure Reviews

1. **July 15**: Candidate submits materials required for external reviews
2. **September 15**: Candidate submits completed dossier to department head
3. **September 22**: Department staff submit dossier electronically
4. **October 15-30**: Department Review*
5. **November 15-30**: College Review*
6. **December 1-January 15**: University Retention, Promotion and Tenure Committee (URPTC) Review*
7. **February 1-15**: Provost’s Review*
8. **March 1-15**: President’s Decision*

* Committees and administrators have 10 days after the review period to notify the candidate and add their letters to the candidate’s dossier.

7.1.1.3 University Timeline for Promotion Reviews

1. **July 15**: Candidate submits materials required for external reviews
2. **October 15**: Candidate submits completed dossier to department head
3. **October 22**: Department staff submit dossier electronically
4. **November 15-30**: Department Review*
5. **February 1-15**: College Review*
6. **March 1-21**: University Retention, Promotion and Tenure Committee (URPTC) Review*
7. **April 1-15**: Provost’s Review*
8. **May 1-15**: President’s Decision*

* Committees and administrators have 10 days after the review period to notify the candidate and add their letters to the candidate’s dossier.

7.2.1 College Timelines

The College of Letters and Science adopts the University timelines, including the dates indicated as estimates.

7.3.1 Department Timelines

The Department of Mathematical Sciences adopts the university timelines, with one exception: Candidates for promotion have until August 15 to submit materials for external review. The Department timelines with this change are reproduced below.

7.3.1.1 Department Timeline for Retention Reviews

1. **September 1**: Candidate submits completed dossier to department head
2. **September 7**: Department staff submit dossier electronically
3. **September 15-30**: Department Review*
4. **October 15-30**: College Review*
5. **November 15-30**: University Retention, Promotion and Tenure Committee (URPTC) Review*
6. **December 1-15**: Provost’s Review*
7. **January 1-15**: President’s Decision*

* Committees and administrators have 10 days after the review period to notify the candidate and add their letters to the candidate’s dossier.

### 7.3.1.2 Department Timeline for Tenure Reviews

1. **August 15**: Candidate submits materials required for external reviews
2. **September 15**: Candidate submits completed dossier to department head
3. **September 22**: Department staff submit dossier electronically
4. **October 15-30**: Department Review*
5. **November 15-30**: College Review*
6. **December 1-January 15**: University Retention, Promotion and Tenure Committee (URPTC) Review*
7. **February 1-15**: Provost’s Review*
8. **March 1-15**: President’s Decision*

* Committees and administrators have 10 days after the review period to notify the candidate and add their letters to the candidate’s dossier.

### 7.3.1.3 Department Timeline for Promotion Reviews

1. **August 15**: Candidate submits materials required for external reviews
2. **October 15**: Candidate submits completed dossier to department head
3. **October 22**: Department staff submit dossier electronically
4. **November 15-30**: Department Review*
5. **February 1-15**: College Review*
6. **March 1-21**: University Retention, Promotion and Tenure Committee (URPTC) Review*
7. **April 1-15**: Provost’s Review*
8. **May 1-15**: President’s Decision*

* Committees and administrators have 10 days after the review period to notify the candidate and add their letters to the candidate’s dossier.