

CRITERIA FOR PROMOTION AND TENURE  
Department of Earth Sciences  
Adopted, February, 1995  
Modified, May, 2001, August 2020

Preamble: Minimum qualifications for tenure and promotion as defined by the University (as approved on July 24, 1987 by the Board of Regents) apply in all cases. The Department's criteria are additional to the minimum qualifications of the University. R (Research) and I (Instructional) faculty are treated with the same criteria, S (Specialist) faculty are treated with somewhat different criteria.

**Basic Faculty Performance**

It is expected that each faculty member will find the mixture of research, teaching, and service that best suits his or her abilities, inclinations, and nature of appointment. This includes:

- A. Conduct scientific research and publish the results.
- B. Offer and effectively teach courses designed to meet the needs of the Department.
- C. Participate in education through conscientious advising and supporting of students.
- D. Maintain, supervise, and improve critical departmental research facilities, train and assist facility users.
- E. Participate in the functioning of the Department and its programs through service on committees.

Minimum Publication Expectations for I, R, and IR appointments at levels 3 and above:  
Faculty are expected to publish at least four articles every five years in peer-reviewed journals or other peer-reviewed publications, such as significant review articles, monographs, or book chapters. The faculty member should be the first author on at least one of these publications, or second author where a student or post-doc is the first author.

Minimum Publication Expectations for Specialist Faculty:  
Faculty are expected to publish at least three articles every five years in peer-reviewed journals or other peer-reviewed publications, such as significant review articles, monographs, or book chapters.

## Promotion

I. Promotion will only be recommended if the candidate is contributing to the programs of the Department.

II. For promotion to ranks III, IV, and V the candidate must meet the professional qualifications set forth for each rank in the Faculty Handbook (1977).

III. Assessment of the performance and achievement of the candidate in teaching, research, and service, commensurate with the nature of their appointment, is evaluated using the following criteria:

### A. Teaching:

(1) Quality: For formal course work, course evaluations by students using the standard Departmental forms will be utilized to determine teaching quality as perceived by students. For teaching done on an individual level, outside the classroom (i.e., training), evaluations from significant lab/facility users will be utilized to determine teaching quality.

(2) Level of courses: Research and teaching faculty will teach at both undergraduate and graduate levels. Specialist faculty are expected to teach mainly at the graduate level, in addition to an on individual basis as dictated by lab/facility requirements.

(3) Advising: Number of undergraduate and graduate students, and postdoctoral fellows advised; graduate students directed and funded; number of thesis and dissertation committees chaired and served on.

### B. Research:

(1) Publications: Quality and number of books, articles in peer-reviewed journals and peer-reviewed book chapters, monographs, review articles, technical reports, other non peer-reviewed literature. Quality and significance will be assessed by examination of reprints, original referee's or editor's comments, published reviews, and frequency of citation. The relative level of contribution will be assessed for papers with more than two authors by the place of the candidate in the authorship list. Articles that are not peer-reviewed will in general not be given as much weight as those which are peer-reviewed.

(2) Funding: Extramural grants funded as PI/PD and co-PI; intramural funding will also be considered as evidence of research productivity but will be given lesser weight than extramural funding.

- (3)Other research activities: Significant participation in major field programs and research cruises, presentation of research results at scientific meetings, conferences, and symposia.

C. Service, Support and Development:

- (1)Service: Significant involvement in Departmental, University, and Professional activities through service on committees, editorial boards, and other work; community service (e.g. guest lectures at schools, clubs, etc.).

- (2)Support and Development: Significant support, development, and/or supervision of multi-user departmental facilities (labs, data archives, etc?).

To be promoted, teaching and research candidates should have a good to excellent record in categories A, B, and C, but the greatest emphasis will be put on the candidate's teaching and research records.

Specialist candidates should have a good to excellent record in categories A, B, and C, but the greatest emphasis will be put on the candidate's Support and Development duties.

IV. Outside evaluation by peers: For research and teaching faculty at least 5 letters of reference will be obtained by the Department from specialist in the candidate's field from outside the University. At least two of these will be selected from a list supplied by the candidate. For specialist faculty, the Department will obtain 5 or more letters of reference from both internal facility users and individuals outside the University. The candidate must declare his or her intent to apply for promotion at least one month prior to the University deadline to allow time for receipt of these letters.

V. It is the responsibility of the candidate to assemble all necessary information for promotion. The Department Ad Hoc Committee for Promotion, after due deliberation of the applicant's promotion application, will vote and forward in writing its results to the Department Chair.

VI. The Department Ad Hoc Committee for Promotion will consist of all tenured Department faculty at or above the rank for which the applicant is applying.

VII. Promotion accomplishments

**For promotion from Assistant to Associate Professor or Associate Researcher, the candidate must:**

A. have obtained significant recognition for his or her work both within the University and the national level;

B.been successful in teaching at the undergraduate and graduate level, and advised and supported students; and

C.provided service to the Department, University, Profession, and Community.

**For promotion from Assistant to Associate Specialist, the candidate must:**

A.have demonstrated the ability to successfully operate his or her lab/technical facilities so that significant contributions to ongoing research within the Department and University were achieved.

B.have obtained recognition for his or her work and been directly involved in collaborative or independent research activities;

C.been successful in teaching at the undergraduate and/or graduate level, including training students on an individual basis; and

D.provided service to the Department, University, Profession and Community.

**For promotion from Associate to Full Professor of Full Researcher, the candidate must:**

A.have achieved all the above-listed requirements for Associate Professor; and

B.have achieved international recognition for his or her work.

**For promotion from Associate to Full Specialist, the candidate must:**

A.have achieved all the above-listed requirements for Associate Specialist; and

B.have achieved international recognition for contributions to their area of specialty activity and/or for research activities.

Promotion to full Professor does not result merely from length of service. In fact, the Department values and respects the contributions of its Associate Professors, and it is possible that some could serve indefinitely in this rank.

**Tenure:**

I. Tenure will only be recommended if the candidate is contributing to the programs of the department and has demonstrated through past accomplishments that he or she will continue to render valuable service to the Department in the future. The candidate will meet the "reasonable Expectations" of the Department with respect to Board of Regents Policy 9-15.

II. The ultimate criterion for achieving tenure is that the candidate must have made significant contributions to his or her field of specialty through teaching and research. Recommendations concerning tenure will be made after assessment of the candidate's qualification in teaching and research and, to a lesser extent, service to the Department, the University, and the Profession. The qualifications will be judged by examination of the following:

A. Teaching:

- (1) Quality: For formal course work, course evaluations by students using the standard Departmental forms will be utilized to determine teaching quality as perceived by students. For teaching done on an individual level, outside the class room (i.e., training), evaluations from significant lab/facility users will be utilized to determine teaching quality.
- (2) Number and level of courses: Faculty will teach a load commensurate with their appointment. Research and teaching faculty will teach at both undergraduate and graduate levels. Specialist faculty are expected to teach mainly at the graduate level and on an individual basis as dictated by lab/facility requirements.
- (3) Advising: Number of undergraduate and graduate students and postdoctoral fellows advised; graduate students directed and funded; number of thesis and dissertation committees chaired and served on.

B. Research:

- (1) Publications: Quality and number of books, articles in peer-reviewed journals and peer-reviewed book chapters; monographs, review articles, technical reports, other non peer-reviewed literature. Quality and significance will be assessed by examination of reprints, original referee's or editor's comments, published reviews, and frequency of citation. The relative level of contribution will be assessed for papers with more than two authors by the place of the candidate in the authorship list. Articles that are not peer-reviewed will in general not be given as much weight as those which are peer-reviewed.

(2)Funding: Extramural grants funded as PI/PD and co-PI; intramural funding will also be considered as evidence of research productivity but will be given lesser weight than extramural funding.

(3)Other research activities: Significant participation in major field programs and research cruises; presentation of research results at scientific meetings, conference, and symposia.

### C. Service, Support and Development

(1)Service: Significant involvement in departmental, University, and Professional activities through service on committees, editorial boards, and other work; community service (e.g. guest lectures at schools, clubs, etc.).

(2)Support and Development: Significant support, development, and/or supervision of multi-user departmental facilities (labs, data archives, etc).

To be granted tenure, teaching and research candidates should have a good to excellent records in categories A, B, and C, but the greatest emphasis will be put on the candidate's teaching and research records.

Specialist candidates should have a good to excellent records in categories A, B, and C, but the greatest emphasis will be put on the candidate's Support and Development duties.

III. Outside Evaluation by peers; For teaching and research faculty, at least 5 letters of reference will be obtained by the Department from specialists in the candidate's field from outside the University. At least two of these will be selected from a list supplied by the candidate. For specialist faculty, the Department will obtain letters of reference from both internal facility users who have benefited from specialty activities, and individuals outside the University. The candidate must declare his or her intent to apply for tenure at least one month prior to the University deadline to allow time for receipt of these letters.

IV. The compatibility of the candidate in the Department will be judged on the basis of his or her cooperation with other faculty members and with students, assumption of responsibility in departmental affairs, and ethical behavior.

V. It is the responsibility of the candidate to assemble all necessary information for tenure. The Department Ad Hoc Committee for Tenure, after due deliberation of the

applicant's tenure application, will vote and forward in writing its results to the Department Chair.

VI. The Department Ad Hoc Committee for Tenure will consist of all tenured Departmental Faculty.

#### STATEMENT REGARDING AUTHORSHIP CONVENTIONS

GG faculty members are expected to submit their work to respected peer-reviewed journals. Unless explicitly stated in the candidate's bibliography, the level of contribution from each author is implicit in the authorship order. An exception involves students and post-docs who may be lead authors even when another author (e.g., the candidate as an advisor) has contributed as much or more; such cases will be identified in the bibliography.

STATEMENT REGARDING EXTERNAL EVALUATORS The external evaluators in GG tenure and promotion cases are expected to be staff or faculty at national and international research institutions and universities. One exception involves Specialist Faculty whose duties may involve considerable service and training of UH staff or students; in such cases internal evaluators may replace some external evaluators.