DATE: October 3, 2007

TO: Chancellors, Vice Presidents, and Deans

FROM: E. Thomas Sullivan, Senior Vice President for Academic Affairs and Provost

SUBJECT: 2007-2008 Schedule and Guidelines for Submission of Faculty Tenure, Promotion, or Nonreappointment Recommendations and Annual Appraisals of Probationary Faculty*

Tenure and promotion of faculty are the most important investments in human capital that we do at the University of Minnesota. If we are to realize our goal of becoming one of the top three public research universities in the world, we must ensure that our promotion and tenure processes are both rigorous and equitable so that our faculty is among the very best in the academy.

This set of materials includes guidelines and also deadlines for submission of various materials by colleges for promotion and tenure reviews, nonreappointment recommendations, and annual appraisals for probationary faculty. Note that you will need to establish earlier deadlines than are set forth here in order to accomplish your own reviews of department/division recommendations. I will present recommendations for tenure and/or promotion to the Board of Regents at the May 2008 meeting.

It is imperative that all tenured or tenure-track faculty receive copies of the Faculty Tenure policy. Please recall that this policy was updated by the Board of Regents in June, 2007. A link to this revised policy can be found on my webpage at: http://www.academic.umn.edu/provost/faculty/promotion.html. In addition, this same address contains a link to the previous Faculty Tenure Policy (2001). Tenure-track faculty hired before June, 2007 and who will be evaluated for tenure and/or promotion during 2007-2008 will be governed by Section 7.11 of the Faculty Tenure Policy (2001). Although the revised Faculty Tenure Policy (2007) contains specific language for the promotion of associate professors to the rank of professor, the former 2001 policy does not.

In addition, all tenure-track and tenured faculty who will be considered for tenure and/or promotion during 2007-2008 should receive copies of the September 1997 "Procedures for Reviewing the Performance of Tenure-Track Probationary Faculty." This document can be found on-line at: http://www1.umn.edu/ohr/policies/performance/probfacreview.html. This 1997 Procedures document must be used for evaluating candidates for promotion and/or tenure during the 2007-2008 academic year.

*Excluding University of Minnesota-Duluth faculty covered by UEA contract. The Chancellor at the University of Minnesota Duluth forwards positive promotion and/or tenure recommendations through the Senior Vice President for System Academic Administration to the Senior Vice President for Academic Affairs and Provost for transmitting to the Board of Regents. The Chancellors at the University of Minnesota Crookston and Morris should direct all P&T recommendations to the Senior Vice President for System Academic Administration for submission to the Senior Vice President for Academic Affairs and Provost.
A new document entitled “Procedures for Evaluating Candidates for Tenure and/or Promotion: Tenured and Tenure Track Faculty” has been approved by the Senior Vice President for Academic Affairs and Provost and the Academic Freedom and Tenure Committee this fall; it is on the docket of the Faculty Senate for information on October 4, 2007. The new 2007 Procedures document has been distributed electronically to all faculty at the University of Minnesota by the Faculty Consultative Committee of the Faculty Senate. This 2007 document will replace the 1997 document for promotion and/or tenure decisions for the next academic year, 2008-2009.

It is also essential that each academic unit provide its tenure-track and tenured faculty with its departmental statement of indices and standards as required in Subsection 7.12 of the Faculty Tenure policy (both the 2001 and the 2007 versions). Although departments, campus divisions, and colleges have written revised 7.12 statements last year, decisions for this upcoming 2007-2008 decision year must be based on the currently approved 7.12 Statements.

Please recall that the Board of Regents at their June 2000 meeting adopted the following modification to the interpretation of the Faculty Tenure policy:

“The faculty of an academic unit are expected to periodically review their criteria for awarding indefinite tenure and reflect any new criteria in a revision of their Subsection 7.12 Statement. The new criteria and Subsection 7.12 Statement must be adopted in accordance with the established procedures of the University, after consultation as required by those procedures. Current probationary faculty in the unit may elect to be evaluated on the criteria in the previous Subsection 7.12 Statement or on the new criteria. This option is also available to current tenured faculty in their evaluation for promotion to the next level. Probationary or tenured faculty must make this decision within one year of the date of administrative approval of the new criteria.”

Administratively, this modification allows an assistant or associate professor undergoing promotion to choose whether to be evaluated under the unit’s most recent 7.12 statement or its immediate preceding 7.12 statement within one year of the central administrative approval of the new criteria. As units receive notification of the approval of their new, revised 7.12 Statements, which are being examined to endure consistency with the new 2007 Procedures document referred earlier, they will also receive information about memoranda of agreement that will be signed by each affected tenure-track and tenured faculty member. These memoranda of agreement will be generated by my office and will record the choice of 7.12 Statement made by each affected faculty member.

To the same extent as previous years, the recommendations on faculty tenure, promotion, or nonreappointment and annual appraisals of probationary faculty will be made by the Senior Vice President for Health Sciences for Academic Health Center units and by the Chancellors at the University of Minnesota Crookston and Morris for their units and forwarded to me for final decision. I will continue to make final recommendations on faculty tenure, promotion, or nonreappointment for all other units on the Twin Cities Campus directly. I will make the presentation of all individuals for tenure and/or promotion to the Board of Regents at its meeting in May, 2008.

**A. Promotion and Tenure Decisions**

Enclosed is a list of faculty members who are in their decision year in 2007-2008 according to our records. Please check this list to ensure that it is accurate. Also, be sure that a copy of the 7.12 Statement under which they will be reviewed is included with each candidate's dossier.
The Faculty Tenure policy requires that a copy of each review or recommendation be supplied to the faculty member. The faculty member may comment thereon in writing to those who will review the matter further (Section 7.61). Please recall that the report of the department or unit discussion of each candidate for tenure and/or promotion, whether it is written by the chair or head or another designated tenured faculty member, must be distributed to the eligible voting faculty for their review according to section 7.4 (e) of the Faculty Tenure Policy before it is forwarded to the dean or chancellor.

With respect to the dean's recommendations, the 1997 "Procedures" (Section 23) specify that the dean makes the recommendation for the college. Copies of the collegiate recommendation (along with any reports from a collegiate review committee) must be sent to the department and the candidate.

The departmental file for promotion and/or tenure must be maintained as the official promotion and tenure file for all candidates seeking promotion, tenure, or both. In keeping with the guiding principle of the Faculty Tenure policy, there must be a good-faith effort to gather all relevant and material information necessary to make the decision; relevant information must not be excluded from the file. We will continue to make every effort to review all such materials. I am therefore informing you that should any supplemental materials reach me after March 15, 2008, it may not be possible to factor that information into the review process in a timely manner. Timing becomes critical because upon receipt of any such materials, the respective candidate must be informed and given copies of relevant and material information and must have the opportunity to respond and provide supplementary materials if he or she so chooses. Please inform all of your respective units and their candidates of this March 15 target date pertaining to the submission of relevant supplementary materials.

Two copies of each dossier and its supporting documentation must be submitted to the Office of the Senior Vice President and Provost. For probationary faculty, copies of the President's Form 12 must be included with both copies of the dossiers submitted to the Senior Vice President and Provost. The original Form 12s should be sent together in a separate envelope and should not be included in the two copies of the dossiers. Copies of all of the candidate's probationary reviews in years one through five should also be included in both sets of dossiers.

B. Annual Appraisals of Probationary Faculty

A computer printout listing probationary faculty members by college and unit is enclosed. Please check these lists to ensure that all probationary faculty in your respective units have been included. Corrections (additions and deletions) to the printout should be forwarded to Karen Linquist at the Office of Human Resources, 120c Morrill Hall or linqu002@umn.edu.

Under the Faculty Tenure policy, the progress of each probationary faculty member must be reviewed annually by the tenured faculty of the unit. The University form used for this review is the President's Form 12, which can be downloaded on my web page at http://www.academic.umn.edu/provost/faculty/promotion.html toward the bottom of the page.

Beginning in fall 2007, the annual appraisals of probationary faculty will be conducted using the new 2007 “Procedures for Evaluating Candidates for Tenure and/or Promotion: Tenured and Tenure Track Faculty.” This document will be posted on my web site shortly after the Faculty Senate meeting on October 4, 2007. Guidelines for the overall review are found in Sections 4 through 10 of the 2007 "Procedures." Documentation (specified in Section 6) should include explicit
evaluations of the candidate's teaching performance, scholarly productivity, and service activities. Other relevant factors may be mentioned. The review must be conducted in the context of the 7.12 Statement that is being used to evaluate the candidate. Section 12 of the "Procedures" provides information about preparation of the candidate's file as a basis for the decision on indefinite tenure.

The academic administrator responsible for preparing the appraisal section of the President's Form 12 should first consult with tenured faculty in that unit; the tenured faculty must review the progress of each probationary candidate annually ("Procedures," Section 7). The academic administrator is responsible for informing each probationary faculty member of the recommendation made concerning continuation of appointment and for advising each individual annually on the progress and growth he or she is making ("Procedures," Section 8). The importance of communication of the results of the appraisal to the probationary faculty member by the unit chair cannot be overemphasized. Administrators must schedule an annual discussion with each probationary faculty member and must file a summary including the date of the meeting and major points discussed. The required appraisal can serve as a basis for this discussion.

The final deadline for receipt of appraisal forms for probationary faculty continuing in rank is April 15, 2008, although we encourage you to submit them according to the collegiate schedules if possible. Please remember that recommendations for nonreappointment of faculty in their final probationary year must follow the same process and timetable as those for promotion and tenure.

C. Post-Tenure Review

Deans, chancellors, and vice presidents are responsible for obtaining full compliance with the 1997-98 post-tenure review (PTR) policies and procedures. The “Rules and Procedures for Post-Tenure Review” can be found on-line at: http://www1.umn.edu/usenate/fsen/guidelines.html and in section 7a of the Faculty Tenure policy. Post-tenure review data for each college and campus are due in my office on April 18, 2008. A memo in early spring semester will provide the details for this survey.

Please feel free to contact Vice Provost Arlene Carney in my office or Karen Linquist (612/624-9817) in the Office of Human Resources if you have questions about these processes or need further information.

ETS/kll

Enclosures

c: Robert H. Bruininks, President
Frank Cerra, Senior Vice President for Health Sciences
Robert Jones, Senior Vice President for System Academic Administration
Carol Carrier, Vice President for Human Resources
Arlene Carney, Vice Provost for Faculty and Academic Affairs
Ann Cieslak, Executive Director and Corporate Secretary, Board of Regents
Mark Rotenberg, General Counsel
DEADLINES FOR SUBMISSION OF VARIOUS MATERIALS
FOR 2007-2008

Due in Central Administration*:

University Libraries January 4, 2008
Carlson School of Management
Humphrey Institute of Public Affairs
Law School
Continuing Education and Extension

College of Biological Sciences January 18, 2008
Vice Presidential Units
Agricultural Experiment Station
Minnesota Extension Service
College of Food, Agricultural, & Natural Resource Sciences
College of Education and Human Development
College of Design

Institute of Technology February 1, 2008

College of Liberal Arts February 8, 2008
Academic Health Center units*** March 14, 2008

Duluth Campus**/*** February 15, 2008
Crookston Campus**
Morris Campus**

Target date for submission of relevant supplementary
materials to the tenure and/or promotion file March 15, 2008

Final deadline for receipt of President's Form 12 for
probationary faculty being continued in rank April 15, 2008

Tenure and/or promotion recommendations presented to
the Board of Regents May 9, 2008

*Send both files to Karen Linquist, Office of Human Resources, 120c Morrill Hall.

**Due to Senior Vice President for System Academic Administration

***Recommendations for transmission to the Board of Regents (must be entered into the University
Promotion and Tenure Database by March 15, 2008)