TO: Chancellors and Twin Cities Deans
FROM: Arlene Carney, Vice Provost for Faculty and Academic Affairs
SUBJECT: 2012-2013 Schedule and Guidelines for Submission of Faculty Tenure, Promotion, or Nonreappointment Recommendations and Annual Appraisals of Probationary Faculty*

This set of materials includes guidelines and also deadlines for submission of various materials by colleges/campuses for promotion and tenure reviews, nonreappointment recommendations, and annual appraisals for probationary faculty. Promotion files for contract faculty in the colleges of the Academic Health Center (e.g. clinical scholars, annually renewable faculty, etc.) should not be sent to the Provost's office. These files from the Academic Health Center should be sent to Dr. Aaron Friedman, Vice President for Health Sciences, for his final recommendation. Files for contract faculty in non-AHC colleges should be sent to the Provost's office as usual. 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. The Senior Vice President and Provost will present recommendations for tenure and/or promotion to the Board of Regents at the May, 2013 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, 2011. A link to this revised policy can be found at this URL: http://www1.umn.edu/regents/policies/humanresources/FacultyTenure.pdf. Section 7.11 Criteria for Tenure and Section 9.2 Criteria for Promotion to Professor did not change in the 2011 revision of the tenure policy and are identical to the sections in the last 2007 revision. In addition, you will find a link to the 2001 Faculty Tenure Policy at: http://www.academic.umn.edu/provost/policies/documents/FacultyTenure2001.pdf.

Most tenure-track and tenured faculty in non-Academic Health Center (AHC) units have chosen to be evaluated for tenure and/or promotion with their new or old 7.12 statement by signing memoranda of understanding (MOU). Some AHC faculty have also signed these MOUs. Tenure-track faculty who were hired before June 8, 2007 and who will be evaluated for tenure and/or promotion during 2012-2013 may be governed by Section 7.11 of the older Faculty Tenure policy (2001) unless otherwise specified by the same memorandum of understanding mentioned above. Although the revised Faculty Tenure Policy (2007 and now 2011) contains specific language for the promotion of associate professors to the rank of professor in Section 9.2, the former 2001 policy does not. Tenured associate professors who are being evaluated for promotion to professor could be evaluated with the 2001 Faculty Tenure policy unless otherwise specified by a special memorandum of understanding (MOU). To date, many assistant and associate professors have signed these

*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 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 Academic Affairs and Provost.
MOUs. It is critical to make sure that faculty evaluated for tenure and/or promotion are evaluated with the correct version of the tenure policy and the correct 7.12 statement.

In addition, all tenure-track and tenured faculty who will be considered for tenure and/or promotion during 2012-13 should receive copies of the February 1, 2012 Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty. This document can be found on-line at:

http://policy.umn.edu/Policies/hr/Contracts/TENURE_PROC01.html

This 2012 Procedures document must be used for evaluating candidates for promotion and/or tenure during the 2012-2013 academic year.

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 (this is true for the 2001 and 2011 versions). Reviews and votes for this upcoming 2012-2013 decision year must be based on the 7.12 Statement that is appropriate for each faculty member. For departments and campuses with 7.12 statements approved by the Senior Vice President for Academic Affairs and Provost since the implementation of the 2007 version of the Faculty Tenure policy, faculty up for tenure and/or promotion have had the opportunity to choose which 7.12 Statement (the new one or the previous one) will be used for their decision. Their choice is recorded on the MOU that each one has signed. For those faculty in departments without newly approved 7.12 Statements, the tenure and/or promotion decision must be based on the previous 7.12 Statement.

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 continue to receive notification of the approval of their new, revised 7.12 Statements, which are being examined to ensure consistency with the Procedures document and the 2011 Faculty Tenure policy, they will also receive information about memoranda of understanding (MOUs) that will be signed by each affected tenure-track and tenured faculty member. These MOUs are 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 Chancellors at the University of Minnesota Crookston, Morris and Rochester for their units and forwarded to Provost Hanson for final decision. All promotion and/or tenure dossiers for faculty in the tenure stream in the
Academic Health Center colleges will also be handled in the Provost's office. Vice President Friedman will make the final promotion decisions for contract faculty after their collegiate reviews. The Provost will continue to make final recommendations on faculty tenure, promotion, or nonreappointment for all units on the Twin Cities Campus directly for tenure-stream faculty. The Provost will consult with Senior Vice President Robert Jones concerning tenure, promotion, and nonreappointment of faculty on the Morris and Crookston campuses. The Provost will make the presentation of all individuals for tenure and/or promotion to the Board of Regents at its meeting in May, 2013. This presentation includes the individuals who are contract faculty as well as P & As with continuous appointments.

A. Promotion and Tenure Decisions

The Faculty Tenure policy requires that a copy of each review or recommendation throughout the review process for tenure and/or promotion 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 (or chancellor's) recommendations, the Procedures specify that the dean or chancellor makes the recommendation for the college/campus. Copies of the collegiate/campus recommendation (along with any reports from a collegiate/campus review committee) must be sent to the department and the candidate. Candidates may reply to these reports and their replies will be sent to the Provost's office. (Section II.G provides additional information about review at the levels above that of the unit; review by central administration is covered in Section II.H.)

The unit 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 tenure and/or promotion decision; relevant information must not be excluded from the file. These additional materials received after the collegiate or campus review (either from the candidate or from another source) should be forwarded to Jaclyn Adair in the Provost's office who will send them to me. We will continue to make every effort to review all such materials. I am therefore informing you that should any additional materials reach me and the Provost after March 19, 2013, 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 from the unit, the respective candidate must be informed and given copies of relevant and material information and must have the opportunity to respond and provide additional materials if he or she so chooses. Please inform all of your respective units and their candidates of this March 19 target date pertaining to the submission of relevant supplementary materials.

This year again, we are asking units to submit materials electronically for all cases unless the unit makes a special request. We have communicated with associate deans for faculty in each college and asked them to put electronic dossiers on a secure, password-protected site (e.g. Netfiles or Moodle) for each college. Jaclyn Adair (berg1282@umn.edu) must have access to each of these sites so that we may copy the dossiers to a secure central site. In the event that a college or campus does not set up a secure web site, then the dossier materials must be submitted to Jaclyn Adair on a CD as we did previously. We recommend that each college maintain one hard copy of each dossier that was submitted electronically.
For each probationary faculty member, a copy of the 2012-2013 University of Minnesota (UM) Form 12, along with copies of all of the candidate's probationary reviews in years one through five, must also be included with the electronic version of the dossiers submitted to the Senior Vice President and Provost. The original 2012-2013 Form 12s should be sent in a separate envelope to Jaclyn Adair, Office of the Vice Provost for Faculty and Academic Affairs, 234 Morrill Hall.

In addition, please complete a P&T dossier cover sheet (see attached Word file) for each faculty member going up for promotion and/or tenure and include a hard copy of this cover sheet with the original set of 2012-2013 Form 12s. This P&T dossier cover sheet must also be a part of the electronic dossier.

B. Annual Appraisals of Probationary Faculty

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 University of Minnesota Form 12 (Appraisals of Probationary Faculty, UM 12), which can be downloaded from the following web page: http://www1.umn.edu/ohr/forms/index.html.

As of February 2012, the annual appraisals of probationary faculty must be conducted using the 2012 Procedures for Evaluating Candidates for Tenure and/or Promotion: Tenured and Tenure Track Faculty. The URL for this document was already provided earlier in this letter. Guidelines for the overall review are found in Section II.E of the Procedures. Documentation (specified in this section) 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 II.F.4 of the Procedures provides information about preparation of the candidate's file as a basis for the decision on indefinite tenure.

The unit head responsible for preparing the appraisal section of UM Form 12 should first consult with tenured faculty in that unit; the tenured faculty must review the progress of each probationary candidate annually (Procedures, II.E). The unit head 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 II.E.4). The importance of communication of the results of the appraisal to the probationary faculty member by the unit head cannot be overemphasized. Unit heads 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 2012-2013 for probationary faculty continuing in rank is April 15, 2013 although we encourage you to submit them according to the collegiate schedules if possible. We recognize that some AHC colleges are still using a different timeline. For these AHC colleges, the final deadline for receiving UM Form 12s is August 15, 2013.

Please remember that recommendations for nonreappointment of probationary faculty prior to the mandatory decision year must follow the same process as those for promotion and tenure decisions (Procedures, Section II.F). That is, after a faculty vote in the unit, the file must be sent to the collegiate promotion and tenure committee for their evaluation, followed by a review and recommendation.
from the dean’s/chancellor’s office. The final dossier must be sent to the Senior Vice President for Academic Affairs and Provost. Probationary faculty who are recommended for nonreappointment must receive notification from the Senior Vice President for Academic Affairs and Provost by certified mail no later May 15, 2013. This means that the process for nonreappointment at the unit and collegiate levels should be completed no later than mid-March to ensure time for central review and response from the probationary faculty member. The final nonreappointment recommendation should reach my office by March 20, 2013. If your college or campus has a case of nonreappointment, please contact me after the initial unit decision and vote so that we can plan the timing of all subsequent decisions.

C. Post-Tenure Review

Deans and chancellors are responsible for obtaining full compliance with the post-tenure review (PTR) policies and procedures. Section 7a of the Faculty Tenure policy specifies the procedures for the annual review of tenured faculty. Detailed processes are described in the Procedures (Section VI). Post-tenure review data for each college and campus are due in my office on June 29, 2013. A memo in early spring semester will provide the details for this survey.

Please contact Ole Gram (612-624-5082; gram@umn.edu) or Jaclyn Adair (berg1282@umn.edu) if you have questions about these processes or need further information.

Enclosures

c: Eric W. Kaler, President
   Karen Hanson, Senior Vice President for Academic Affairs and Provost
   Robert Jones, Senior Vice President for System Academic Administration
   Aaron Friedman, Vice President for Health Sciences and Dean of the Medical School
   Kathryn Brown, Vice President for Human Resources
   Brian Steeves, Executive Director and Corporate Secretary, Board of Regents
   Mark Rotenberg, General Counsel
APPENDIX A
DEADLINES FOR SUBMISSION OF VARIOUS MATERIALS
FOR 2012-2013
DOES NOT INCLUDE DATES FOR CONTRACT FACULTY FILES

Due for Provost's Office Review on the Secure Website:

**P & T Dossiers**

- University Libraries
- Carlson School of Management
- Humphrey Institute of Public Affairs
- Law School
- College of Continuing Education
- School of Nursing
- School of Public Health

- January 8, 2013

- College of Biological Sciences
- 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

- January 15, 2013

- College of Science and Engineering

- January 29, 2013

- College of Liberal Arts

- February 5, 2013

- Crookston Campus
- Morris Campus

- February 12, 2013

- Medical School
- Dental School
- College of Veterinary Medicine
- College of Pharmacy

- February 19, 2013

[This date reflects the fact that there is no review at the AHC level. The file goes to the Provost's office directly from the college.]

- Duluth Campus**

- March 19, 2013

Target date for submission of relevant supplementary materials to the tenure and/or promotion file for all colleges and campuses

- March 19, 2013

**Annual Appraisals**

Final deadline for receipt of UM Form 12 for probationary faculty being continued in rank for non-AHC colleges and the School of Public Health

- April 15, 2013

Final deadline for receipt of UM Form 12 for probationary faculty being continued in rank for AHC colleges

- August 15, 2013
Final deadline for receipt of UM Form 12 for probationary faculty being nonreappointed  March 20, 2013

**Board of Regents**

Tenure and/or promotion recommendations presented to the Board of Regents  May 9, 2013

**Recommendations for transmission to the Board of Regents (must be entered into the University Promotion and Tenure Database by March 20, 2013).**
APPENDIX B
Electronic Dossier Format for Submission

Colleges and campuses have been asked to put their promotion and tenure files on a secure, password-protected web site in electronic format. Each candidate’s dossier should be in an electronic folder with his or her college, name, and decision in the folder title: “CLA Smith Associate with tenure” or “Law Jones Tenure only.” Inside that folder there should be a single pdf with tabs. To create a pdf with tabs, refer to this URL and follow the directions.


The electronic folder should include:

a) First tab: Chosen 7.12 statement and Memorandum of Understanding (MOU) if applicable. (For many units, this will be the old 7.12. For some units, some faculty will have chosen the old 7.12 statement and some the new 7.12 statement.)
b) Second tab: The dossier submission cover sheet for either assistant professor or associate professor (See Appendix C for examples). This cover sheet has identifying information and a record of all votes.
c) A third tab should contain a table of contents for the tabs in the folder.
d) A fourth tab should contain the candidate’s curriculum vitae, using the template provided.
e) A fifth tab should contain teaching information about the candidate – statement or narrative, description of courses taught, advising, any summaries of teaching evaluations, peer reviews, etc.
f) A sixth tab should contain research information about the candidate - statement, any type of summary used by the college to describe research - description of publication/creative work venues, a one-paragraph description of each external reviewer and his/her qualifications (even if CVs of external reviewers are provided), sample letter sent to reviewers, any background on the process, letters from external reviewers, etc.
g) A seventh tab should contain service information about the candidate.
h) An eighth tab should contain copies of all Form 12s from years 1 through 6.
i) A ninth tab should contain all the review information from the initial department or unit evaluation - initial unit report, including majority and minority reports, letter from the chair or head.
j) A tenth tab should contain all the college or campus review information – collegiate/campus review committee report, dean’s/chancellor’s letter or letters.
k) An eleventh tab should contain supplementary material from the candidate marked with dates that these were added to the dossier.
l) For colleges that have adopted the use of an assurance page that the candidate has been able to view the file, this should be contained in a twelfth tab or pdf.

Supplementary materials (such as journal articles) need not be included in the electronic dossier for central review.

This is not meant to replace the format of the collegiate dossier that has been used previously. Colleges can certainly make some variation in the format above as long as it is clear from the file names what they contain. Please label each of these pdfs with a content label (e.g. “Smith CV,” or “Jones teaching,” and not just a number. That is, there should be sufficient information to find materials in the dossier.
When adding material to the dossier at the unit or collegiate level (e.g. candidate’s response, letters from faculty, editors, etc.) before submission to the Senior Vice President for Academic Affairs and Provost (SVPP), the unit should place the material in the candidate’s folder on the secure web site.

When the files are ready for submission to the SVPP, notify Jaclyn Adair and Vice Provost Carney on or before the collegiate/campus deadline date. In order for the SVPP office to process dossiers efficiently, the file must include the dossier submission cover sheet.

Please do not send the electronic file via e-mail.
Appendix C1
2012-13 Recommendations
Tenure & Promotion to Associate Professor; Tenure Only

Candidate Name (as appears on CV):  

unit Name:  

Mailing Address (include mail delivery code):  

Telephone:  E-mail:  

Unit Chair/Head Name (include title):  

Unit Chair/Head Mailing Address (include mail delivery code):  

Educational Information (Highest Degree)
Degree:  Year:  Institution:  

UMN Faculty Appointment Information
Current Rank:  Effective date:  

Current Appt. Type (e.g., N, P):  

Previous Rank/Appt. Type:  Effective date:  

UMN Probationary Service
Prior Service Credit:  # years  

Institution:  

UMN probationary service (including current year):  # years  

Extension of probationary period  # years (include leaves without pay)  

Total probationary years:  # years  

Proposed Rank:  Proposed Appointment Type:  P  

Voting Information (Fill in with total numbers voting in each category.)

<table>
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<th>Unit Tenure and/or Promotion Vote</th>
<th>Unit Head Recommendation</th>
<th>College/Campus P&amp;T Committee Tenure and/or Promotion Vote</th>
<th>Dean/Chancellor Recommendation</th>
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<tbody>
<tr>
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<tr>
<td>No</td>
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<tr>
<td>Abstain</td>
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<tr>
<td>Not Voting</td>
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</table>
Appendix C2
2012-13 Recommendations
Promotion to Associate Professor or Professor Only

Candidate Name (as appears on CV):
EMPLID:

Unit Name:

Mailing Address (include mail delivery code):

Telephone: E-mail:

Unit Chair/Head Name (include title):
Unit Chair/Head Mailing Address (include mail delivery code):

Educational Information (Highest Degree)
Degree: Year: Institution:

UMN Faculty Appointment Information

Current Rank: Effective date:

Current Appt. Type: (e.g. P, K, W, I, etc.)

Previous Rank/Appt. Type: Effective date:

Proposed Rank: Proposed Appt. Type (e.g., P, K, W, I, etc.):

Voting Information (Fill in with total numbers voting in each category.)

<table>
<thead>
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<th>Unit Promotion Vote</th>
<th>Unit Head Recommendation</th>
<th>College/Campus P&amp;T Committee Promotion Vote</th>
<th>Dean/Chancellor Recommendation</th>
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Notes:
APPENDIX D
P & T Dossier Checklist

1. Dossier submission sheet (either for assistant professor to associate professor with tenure, tenure only, or associate professor to professor)
   - one hard copy of this cover sheet should be sent to Jaclyn Adair
   - one copy should accompany each file electronically

2. Unit 7.12 Statement that was used for this faculty member along with signed MOU.

3. Original, hard copy 2012-2013 Form 12s to Jaclyn Adair. Electronic Form 12s should be submitted as part of the dossier on the secure web site.