DATE: October 7, 2009
TO: Chancellors and Twin Cities Deans
FROM: E. Thomas Sullivan, Senior Vice President for Academic Affairs and Provost
SUBJECT: 2009-2010 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 make 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, 2010 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 at this URL: [http://www1.umn.edu/regents/policies/humanresources/FacultyTenure.pdf](http://www1.umn.edu/regents/policies/humanresources/FacultyTenure.pdf).


Tenure-track faculty hired before June 8, 2007 and who will be evaluated for tenure and/or promotion during 2009-2010 will be governed by Section 7.11 of the previous Faculty Tenure Policy (2001) unless otherwise specified by a special memorandum of understanding. Although the revised Faculty Tenure Policy (2007) 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 will be evaluated with the 2001 Faculty Tenure Policy unless otherwise specified by a special memorandum of understanding.

*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.
In addition, all tenure-track and tenured faculty who will be considered for tenure and/or promotion during 2009-2010 should receive copies of the October 15, 2007 Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty. This document can be found on-line at: http://academic.umn.edu/provost/faculty/tenure/pdf/Procedures101207.pdf. This 2007 Procedures document must be used for evaluating candidates for promotion and/or tenure during the 2009-2010 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 (both the 2001 and the 2007 versions). Although departments, campus divisions, and colleges have written revised 7.12 Statements in the past two years, decisions for this upcoming 2009-2010 decision year must be based on: 1) the 7.12 Statement that was in place at the time of hire (as an untenured faculty member for a tenure decision) or at the time of promotion (for associate professors with tenure); or 2) the newly approved 7.12 Statements if there is a written agreement between the faculty member and the unit that has been approved by the Senior Vice President for Academic Affairs and Provost.

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 new 2007 Procedures document referred to earlier, 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 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, 2010.
A. Promotion and Tenure Decisions

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 2007 Procedures (Section 18) 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. Candidates may reply to these reports and their replies will be sent to the Provost's office. (Sections 14 through 17 provide additional information about review at the levels above that of the unit; review by central administration is covered in Sections 19 through 21.)

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 (either from the candidate or from another source) should be forwarded to Karen Linquist 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 after March 12, 2010, 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 12 target date pertaining to the submission of relevant supplementary materials.

Last year, we began a transition in the format of dossier submission to my office, starting with the non-AHC colleges. This year, we are asking units to submit materials electronically for all cases unless the unit makes a special request. Last year, we asked that each electronic dossier be submitted on a CD (and not sent by e-mail). This year, we have communicated with associate deans for faculty in each college and asked them to put electronic dossiers on a secure, password-protected site for each college. Vice Provost Arlene Carney and Karen Linquist must have access to each of these sites so that they 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 Karen Linquist on a CD as we did last year. We recommend that each college maintain one hard copy of each dossier that was submitted electronically.

See the attachment regarding the preparation of electronic dossiers for central review. If this poses a serious hardship for a college, then please let Karen Linquist know as soon as possible. We are requesting the electronic version to allow for greater efficiency in reviewing over 150 files centrally.

For each probationary faculty member, a copy of the 2009-2010 President's Form 12 must be included with the electronic version of the dossiers submitted to the Senior Vice President and Provost. The original Form 12s (including those for 2009-2010) should be sent together in a separate envelope. Copies of all of the candidate's probationary reviews in years one through five...
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should also be included in the electronic dossier.

In addition, please complete an attached P & T dossier cover sheet 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 Form 12s. This P & T dossier cover sheet must also be a part of the electronic dossier. We will send an electronic version of the cover sheet for assistant professors and for associate professors to be used with 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 President's 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 fall 2007, the annual appraisals of probationary faculty must be conducted using the new 2007 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 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 unit head 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 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 8). 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 probationary faculty continuing in rank is April 15, 2010 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 as those for promotion and tenure. Probationary faculty who are recommended for non-reappointment must receive notification from the Senior Vice President for Academic Affairs and Provost by certified mail no later May 15, 2010. This means that the process for nonreappointment at the unit and collegiate levels should be completed no later than mid-April to ensure time for central review and response from the probationary faculty member. If your college or campus has a case of nonreappointment, please contact Vice Provost Carney after the initial unit decision and vote.

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 16, 2010. A memo in early spring semester will provide the details for this survey.

Please feel free to contact Vice Provost Arlene Carney or Dr. Karen Zentner Bacig 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
# Appendix A

## Deadlines for Submission of Various Materials for 2009-2010

Due for Central Administration Review on the Secure Website*:

### P & T Dossiers

<table>
<thead>
<tr>
<th>University</th>
<th>Due Date</th>
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<tbody>
<tr>
<td>University Libraries</td>
<td>January 4, 2010</td>
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<tr>
<td>Carlson School of Management</td>
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<td>Humphrey Institute of Public Affairs</td>
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<td>Law School</td>
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<td>Continuing Education and Extension</td>
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<td>College of Biological Sciences</td>
<td>January 15, 2010</td>
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<td>Vice Presidential Units</td>
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<td>Agricultural Experiment Station</td>
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<td>Minnesota Extension Service</td>
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<td>College of Food, Agricultural, &amp; Natural Resource Sciences</td>
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<td>College of Education and Human Development</td>
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<td>College of Design</td>
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<td>Institute of Technology</td>
<td>January 29, 2010</td>
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<td>College of Liberal Arts</td>
<td>February 5, 2010</td>
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<td>Crookston Campus</td>
<td>February 12, 2010</td>
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<td>Morris Campus</td>
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<tr>
<td>Academic Health Center units</td>
<td>March 12, 2010</td>
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<tr>
<td>Duluth Campus**</td>
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<td><strong>Target date for submission of relevant supplementary materials to the tenure and/or promotion file</strong></td>
<td>March 12, 2010</td>
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### Annual Appraisals

Final deadline for receipt of President's Form 12 for probationary faculty being continued in rank: April 16, 2010

### Board of Regents

Tenure and/or promotion recommendations presented to the Board of Regents: May 13, 2010

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*Notify Karen Linquist, Office of Human Resources, 612/624-9817 or linqu002@umn.edu.

**Recommendations for transmission to the Board of Regents (must be entered into the University Promotion and Tenure Database by March 12, 2010)**
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 number of separate pdfs. That is, entire dossiers should not be scanned as a single large pdf. This makes the reading of dossiers in electronic format slow and difficult. The electronic folder should include:

a) 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.
b) A second pdf should contain a table of contents for the other pdfs in the folder.
c) A third pdf should contain the candidate's curriculum vitae.
d) A fourth pdf should contain teaching information about the candidate – statement or narrative, description of courses taught, advising, any summaries of teaching evaluations, etc. depending upon the
e) A fifth pdf 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, description of external reviewers and their qualifications (even if CVs of external reviewers are provided), sample letter sent to reviewers, any background on the process, letters from external reviewers, etc.
f) A sixth pdf should contain service information about the candidate.
g) A seventh pdf should contain copies of all From 12s from years 1 through five.
h) An eighth pdf should contain all the review information from the initial department or unit evaluation - initial department report, including majority and minority reports, letter from the chair or head.
i) A ninth pdf should contain all the college or campus review information - collegiate review committee report, dean's letter or letters.

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 Karen Linquist and Vice Provost Carney on or before the collegiate 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 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 Karen Linquist
   - one copy should accompany each file electronically

2. Original, hard copy Form 12s to Karen Linquist. Electronic Form 12s should be submitted as part of the dossier on the secure web site.

3. Individual pdfs for each section in the candidate’s folder. Do not prepare large, single pdfs of the dossier.