I. INTRODUCTORY STATEMENT

A. OVERVIEW. This document describes the indices, standards, and procedures that will be used to evaluate whether candidates meet the general criteria in Sections 7.11 and 9.2 of the Regents Policy on Faculty Tenure as well as the Procedures for Reviewing Candidates for Promotion and/or Tenure: Tenure-Track and Tenured Faculty. The College of Education and Human Development Academic Personnel Policy and Procedures Manual can also be consulted.

B. FRAMES OF REFERENCE. The Department’s 7.12 statement is framed by and based on the following:

- the Mission of the University of Minnesota
- the Mission of the College of Education and Human Development
- the Mission of the Department of Educational Policy and Administration
- 7.11 and 9.2 Statements of the Regents Policy on Faculty Tenure
- Procedures for Reviewing Candidates for Promotion and/or Tenure: Tenure-Track and Tenured Faculty
- 7.12 Values Statement of the College of Education and Human Development
- Context: The Department of Educational Policy and Administration

Each of these is presented below.

University of Minnesota Mission Statement

The University of Minnesota, founded in the belief that all people are enriched by understanding, is dedicated to the advancement of learning and the search for truth; to the sharing of this knowledge through education for a diverse community; and to the application of this knowledge to benefit the people of the state, the nation, and the world. The University's mission, carried out on multiple campuses and throughout the
state, is threefold: 1. Research and Discovery, 2. Teaching and Learning, and 3. Outreach and Public Service.

College of Education and Human Development Mission Statement

The new College of Education and Human Development is a world leader in discovering, creating, sharing, and applying principles and practices of multiculturalism and multidisciplinary scholarship to advance teaching and learning and to enhance the psychological, physical, and social development of children, youth, and adults across the lifespan in families, organizations, and communities.

Department of Educational Policy and Administration Mission Statement

The mission of the Department of Educational Policy and Administration is to create knowledge for the 21st century that will enhance educational leadership, organizations, and policies in local, national, and global contexts. This knowledge reflects multidisciplinary and multicultural perspectives, is intended to generate new models of education, and is realized through teaching, research, and service.

The mission of the Department is consistent with and guided by the missions of the University of Minnesota and the College of Education and Human Development. Fundamental to all three is knowledge creation and dissemination for the betterment of society. In the case of Educational Policy and Administration, the focus of knowledge creation is education.

Section 7.11 of the Faculty Tenure policy

General Criteria. What the University of Minnesota seeks above all in its faculty members is intellectual distinction and academic integrity. The basis for awarding indefinite tenure to the candidates possessing these qualities is the determination that each has established and is likely to continue to develop a distinguished record of academic achievement that is the foundation for a national or international reputation or both [3]. This determination is reached through a qualitative evaluation of the candidate’s record of scholarly research or other creative work, teaching, and service [4]. The relative importance of these criteria may vary in different academic units, but each of the criteria must be considered in every decision [5]. Demonstrated scholarly or other creative achievement and teaching effectiveness must be given primary emphasis; service alone cannot qualify the candidate for tenure. Interdisciplinary work, public engagement, international activities and initiatives, attention to questions of diversity, technology transfer, and other special kinds of professional activity by the candidate should be
The awarding of indefinite tenure presupposes that the candidate’s record shows strong promise of his or her achieving promotion to professor.

[3] "Academic achievement" includes teaching as well as scholarly research and other creative work. The definition and relative weight of the factors may vary with the mission of the individual campus.

[4] The persons responsible and the process for making this determination are described in subsections 7.3 through 7.6.

"Scholarly research" must include significant publications and, as appropriate, the development and dissemination by other means of new knowledge, technology, or scientific procedures resulting in innovative products, practices, and ideas of significance and value to society.

"Other creative work" refers to all forms of creative production across a wide range of disciplines, including, but not limited to, visual and performing arts, design, architecture of structures and environments, writing, media, and other modes of expression.

"Teaching" is not limited to classroom instruction. It includes extension and outreach education, and other forms of communicating knowledge to both registered University students and persons in the extended community, as well as supervising, mentoring, and advising students.

"Service" may be professional or institutional. Professional service, based on one's academic expertise, is that provided to the profession, to the University, or to the local, state, national, or international community. Institutional service may be administrative, committee, and related contributions to one's department or college, or the University.

All faculty members are expected to engage in service activities, but only modest institutional service should be expected of probationary faculty.

[5] Indefinite tenure may be granted at any time the candidate has satisfied the requirements. A probationary appointment must be terminated when the appointee fails to satisfy the criteria in the last year of probationary service and may be terminated earlier if the appointee is not making satisfactory progress within that period toward meeting the criteria.

Section 9.2 of the Faculty Tenure policy

Criteria for Promotion to Professor. The basis for promotion to the rank of professor is the determination that each candidate has (1) demonstrated the intellectual distinction and academic integrity expected of all faculty members, (2) added substantially to an already distinguished record of academic achievement, and (3) established the national or international reputation (or both) ordinarily resulting from such distinction and achievement [8]. This determination is reached through a qualitative evaluation of the candidate’s record of scholarly research or other creative work, teaching, and service [9].
The relative importance of these criteria may vary in different academic units, but each of the criteria must be considered in every decision. Interdisciplinary work, public engagement, international activities and initiatives, attention to questions of diversity, technology transfer, and other special kinds of professional activity by the candidate should be considered when applicable. But the primary emphasis must be on demonstrated scholarly or other creative achievement and on teaching effectiveness, and service alone cannot qualify the candidate for promotion.

[8] "Academic achievement" includes teaching as well as scholarly research and other creative work. The definition and relative weight of the factors may vary with the mission of the individual campus. Not being promoted to the rank of professor will not in itself result in special post-tenure review of a tenured associate professor.

[9] The persons responsible for this determination are the full professors in the unit who are eligible to vote. The outcome of the vote is either promotion to the rank of professor or continuation in rank as an associate professor. The procedures for voting are identical to those outlined in Section 7.4 for the granting of indefinite tenure, the nondisclosure of grounds for the decision (Section 7.5), and the review of recommendations (Section 7.6). In addition, a petition to the Judicial Committee for review of a recommendation of continuation in rank as an associate professor follows the procedures specified in Section 7.7 for decisions about promotion to associate professor and conferral of indefinite tenure.

College of Education and Human Development 7.12 Values Statement

The College affirms the pre-eminent value of excellence in research, teaching, and service—excellence that will help the University achieve the highest level of recognition among public research universities. Unit 7.12 statements must reflect the Unit’s high standards of academic excellence, consistent with the framework of the University 7.11 statement for promotion and tenure.

The College recognizes and values the diversity of missions, disciplines, and faculty expertise represented in the units in the College. Although excellence must be the foundation upon which the work of a faculty member is evaluated in the context of promotion and tenure, how that excellence is manifested may vary across time and across units within the College.

The College affirms the crucial role played by faculty within the unit to ensure that their decisions about promotion and tenure are decisions that will be validated by judgments at the College and University levels.

Context: The Department of Educational Policy and Administration

The Department is located in an urban land-grant university where scholarly and artistic activities, teaching, and mission-related services are responsive to national
and international opportunities in scholarship but also qualified by a realization that programs will both contribute to, and be unique within, the State of Minnesota.

Education policy is formed within a broad context and therefore is to be studied with attention to a range of considerations, including socio-economic, demographic, institutional and political factors as well as alternative ideas, theories and values. Research and teaching in educational policy and administration are most appropriately interdisciplinary or multidisciplinary efforts drawing from the knowledge and research methodologies of the social/behavioral sciences, humanistic studies, and clinical experience. History, sociology, psychology, economics, management sciences, legal analysis, anthropology, political science and philosophy are indispensable for an adequate understanding and assessment of the role in society of schools, districts, colleges, universities, and other formal and informal educational institutions.

Educational Policy and Administration encompasses four academic programs: Comparative and International Development Education, Educational Administration (including Administrative Licensure), Evaluation Studies, and Higher Education. The Department aims to achieve scholarly distinction, high quality instruction, and engagement with the public in each of these programs. Further, the Department strongly supports interaction among faculty that crosses disciplinary and program area boundaries and is cognizant of cultural diversity and culture in educational provision.

For our purposes, therefore, the term “educational policy” refers to the normative provisions and conditions of the social contract that shape educational systems and govern their conduct in the attainment of goals. Hence, the study of educational policy is focally concerned with the institutionalization of education through formal structures of schooling, non-school organizations, and non-formal education. Disciplined inquiry in the Department centers on the formation, structure, process, and function of educational policy in national and international contexts. Analysis of innovation, planning, futures studies, and educational redesign are each encompassed in this broad conceptualization of educational policy.

Purposes

Three related purposes give direction to departmental activities. The two highest priorities of the Department are 1) to initiate, sponsor and support research and development activities enhancing knowledge and techniques relating to educational policy and administration and 2) to develop and provide professional preparation programs for persons seeking positions in our four programmatic areas. The Department’s third priority is to provide mission-related service and public engagement activities for educational organizations. All three purposes reflect the commitment of the Department to bridging theory and practice.
II. SECTION ON AWARDDING INDEFINITE TENURE

Department Criteria

Department criteria for tenure are defined relative to activities, practices, and products incorporated within them. They are organized into the primary performance domains of teaching and research and the qualified domain of professionally related service. Further, there is the suggestion of standards to be applied in the review of faculty fulfillment of the criteria, namely, “effectiveness” in teaching, “professional distinction” in research, and “outstanding contributions” in service to the profession and the public.

Standards and Indices

Although it is difficult to be explicit about standards for weighing the evidence gathered for probationary reappointment, and tenure decisions, “effectiveness,” “professional distinction,” and “outstanding contributions” are constructs around which general agreement is possible. Standards, even when stated with reasonable specificity, are largely matters of judgment entrusted to senior faculty colleagues in the Department.

In framing standards to guide assessment of the accomplishments of individual candidates for tenure and promotion in the three major domains of faculty performance, at least three dimensions of performance are important. These are quantity, quality, and impact.

A. Research and Scholarly Work - ”Research” must include significant scholarly publications, but may also include activities that lead to the public availability of products or practices that have significance to society, such as the development of new technology, new products, and new practices.

The disciplined inquiry of the faculty member will show evidence of:

Rigor. The accomplishments will be determined by the canons of inquiry appropriate to the field and the problem of the study. Primary consideration will be given to scholarly work that has been reviewed by national and international experts in the field.

Relevance. The accomplishments will be determined by the centrality of the questions, issues,
or problems being addressed, and, when appropriate, by the ways that multicultural and multidisciplinary frames of reference and scholarship have been incorporated to explore these critical issues.

**Effect.** The accomplishments will be assessed in terms of making a contribution to the area of study. When appropriate, the accomplishments will have an impact on professional practice or educational policy both nationally and internationally.

The Department’s quantitative indices will place primary weight on completed works. These will include, among others, published or in press works (e.g., book chapters, journal articles, monographs, technical reports), funded projects, presentations at professional and scholarly meetings, and other forms of knowledge dissemination.

The quality of scholarship will be assessed by experts, both internal and external to the Department and University. Qualitative indicators of inquiry will include, among others, judgments concerning originality, research focus, and significance. Whether the contributions are invited and recognized by awards will also be considered.

Distinction in research is based primarily on the following:

1. The candidate’s publications, with the greatest weight being given to peer-reviewed articles (in the field’s leading publication outlets), books, monographs, and book chapters. Secondary weight will be given to non-refereed journals, technical reports, scholarly presentations, and other forms of knowledge dissemination. Evidence will be sought from all publications that the work is scholarly, creative, and significant.

2. Independence of research accomplishments. In multi-authored articles, the contribution of the individual under review will be described by the candidate and evaluated by members of the review committee.

3. External research funding from sources outside the University by competition at national or international levels.
4. Participation in invited scholarly symposia, meetings, and lectures. Preference is given to presentations at peer-reviewed conferences (e.g., American Educational Research Association), and candidates are strongly encouraged to turn these papers into peer-reviewed publications.

5. Election to prestigious national or international organizations that recognize excellence in disciplines or fields represented in the Department.

B. Teaching and Advising – The Department of Educational Policy and Administration is an award-winning Unit with respect to its teaching, and the faculty pays serious attention to both classroom instruction and student advising. Because our Department is almost exclusively a graduate unit, it is essential that classroom teaching and advising be seen as interconnected responsibilities. “Teaching” is not limited to credit-producing classroom instruction. It includes extension and outreach education, communicating knowledge to both registered University students and persons in the external community, as well as supervising, mentoring, and advising students. The Department encourages innovative instruction using the latest technologies.

Teaching will show evidence of knowledge of the subject matter, development of an appropriate instructional plan, the ability to communicate effectively, creation of an environment conducive to learning and an appropriate evaluation plan. Advising will show skill in guiding student research and writing, evidence of the professor’s availability for consultation with students, and knowledge of institutional programs, policies, and procedures.

Per Section 7.11 of Faculty Tenure, teaching will not be limited to classroom instruction. It will include extension and outreach education and other forms of communicating knowledge to both registered University students and persons in the extended community, as well as supervising, mentoring, and advising students.

A variety of quantitative indicators will be considered. Among these are student assessments of instruction, the number and variety and level of classes taught, the number of advisees by level, the number of committee assignments by level and function, the number of graduates advised to completion,
thesis titles, visiting lectureships, workshops and other informal instructional activities, development and/or authoring of textbooks or other instructional materials, etc.

A number of qualitative indicators may be examined. Among these will be student assessments of advising, peer assessments of instruction and advising, any formal evaluation program that might be available in the Department, follow-ups of former graduates (positions obtained, awards earned, etc.), recognitions and awards for teaching, character and appropriateness of syllabi and other course materials in use, tests and other assessment procedures employed in courses, etc. A limited number of impact indicators may be considered. Among these will be the performance of students in oral and written examinations, positions taken, and contributions made by students after graduation, etc.

Effectiveness in teaching and advising is based primarily on the following:

1. Summary of courses taught, directed, or developed by the candidate, at both undergraduate and graduate levels.

2. Number of degree candidates advised and graduated in both professional and graduate programs.

3. Evaluations by students, including both quantitative ratings and qualitative comments on University-required end of course evaluation forms and faculty-solicited letters.

4. Evaluation by peers, especially of new courses and curricula as well as course revisions (to include review of syllabi-text, material covered, assignments, and examinations).

5. Progress in teaching. Attention will be given to the measures faculty members have taken to respond to feedback and improve their teaching.

6. Teaching and advising awards obtained.

C. Service - Service may be professional or institutional. Professional service, based on one’s academic expertise, is that provided to the profession or to the local, state, national, or international community. Institutional service may be administrative, committee, and related contributions to one’s department or
college, or the University.” Several different types of service are included in the Unit’s definition. Disciplinary, interdisciplinary, multidisciplinary, professional, multicultural, and publicly-engaged service and outreach activities are all valued within our Department.

The individual’s participation in the governance of the institution and other services to the University and service to the academic unit may be taken into consideration, but are not in themselves bases for awarding tenure.

Our Departmental mission is consistent with these criteria. Examples of acceptable service activities include service to professional organizations as well as service to learned societies, state and federal agencies, and the community, when it is within the faculty member’s academic expertise and fits the mission of the academic unit.

All tenure-track and tenured faculty are expected to engage in service activities: to the profession, to the Department, to the College, to the University, and to the general public. Only modest service is expected of tenure-track faculty. Departmental service will be evaluated based on multiple types of evidence, including contributions to institutions, agencies, associations or professional practices at local, state, and national and international levels. Such service could include the following: developing and influencing policies; integrating human and other resources into effective programs; anticipating and solving operational problems that make policies workable; offering professional expertise and skills to enhance organizational function; achieving impact on local, state, national, and international institutions and organizations; and achieving impact on professional practices. Particular value will be given to service that is integral to one’s area of scholarly inquiry.

Quantitative indicators of service will be derived from records of participation in professional, scholarly and field-based organizations, leadership as a member or officer in such associations, awards received, and work as a consultant in appropriate areas. Qualitative assessments of service will be obtained from peers and from relevant organizations, as well as other sources.

As part of a faculty’s member service, our Department recognizes grant development work, particularly the winning of major competitive grants. Normally grants are thought of as a research contribution. Indeed grants often do facilitate the generation of data resulting in important research publications.
However, there are other important grants that are related to training or curriculum development. Grants may provide valuable opportunities for graduate students and they contribute importantly to the financial health of the department, the college, and the university. Thus, the success of faculty members in generating revenues through successful grant efforts is considered an important part of their service role and contribution.

III. EXTENDING THE PROBATIONARY PERIOD (STOPPING THE TENURE CLOCK)

Probationary faculty have the right to extend their probationary periods or to stop the tenure clock in accord with Section 5.5 of *Faculty Tenure*. (See Appendix A.) The evaluation of their performance will be based on the amount of time they were on the tenure clock. In other words, when considering the record of probationary faculty who have stopped the tenure clock, criteria for promotion and tenure are no different from the criteria for those who have not had an extension to the tenure clock.

IV. SECTION ON PROMOTION TO ASSOCIATE PROFESSOR

Since promotion to this rank is usually associated with a decision concerning tenure, such a promotion must meet tenure standards. Promotion to associate professor with tenure is based on effectiveness in teaching and professional distinction in research and exemplary service to the University, relevant professional audiences, and, as appropriate, local, national, and international communities.

**Procedures.**

In the promotion year (as well as the tenure-decision year), a three-person review committee will identify and solicit evaluations from five-to-seven external expert reviewers. At least half, and no fewer than four, of the external reviewers must be obtained from individuals with no direct professional or (personal interest in the advancement of the candidate’s career (for example, they should not be former advisors, mentors, co-authors, or co-investigators on previous work). The file must specify clearly the relationship of each external reviewer to the candidate and should contain a description of each external reviewer and his or her credentials to enable collegiate/campus review committees and collegiate and central administrators to interpret reviews more fully.

External reviewers will be leading scholars in the subject area or areas under review and individuals from comparable top research universities or institutes, whenever possible. External reviewers must be told that their
evaluations will not be held confidential, because state law permits the candidates to inspect them. External reviewers must be told if and when a candidate has stopped the tenure clock and for how long. They are not told the reason the tenure cloak was stopped but should be advised to allow for reduced productivity during the time the clock was stopped.

Research is evaluated by the selection of appropriate peer reviewers from the relevant disciplines. The criteria for evaluating multidisciplinary, multicultural, and publicly engaged research will be the same as those used for other forms of research.

Scholarship about teaching is highly valued in the Department and will be evaluated the same as other topics.

For candidates holding joint appointments, the primary department will initiate the review process and appoint the review committee. The review committee will include individuals from each of the departments involved, and special care will be taken in soliciting reviews from representatives of the appropriate subject areas. In such cases, the Department will submit a written request to and obtain authorization in writing by the Senior Vice President for Academic Affairs and Provost. The request will identify the faculty member under consideration, and give the name(s) and tenure homes of those faculty members who will be asked to vote on the candidate and the reasons for including them.

V. SECTION ON PROMOTION TO PROFESSOR

Promotion to professor will be guided by Section 9.2 of Faculty Tenure, as well as the Procedures for Reviewing Candidates for Promotion and/or Tenure: Tenure-Track and Tenured Faculty.

Accordingly, promotion to professor in Educational Policy and Administration, in addition to the criteria used for associate professor appointments, includes evidence demonstrating:

1. Achievement of a truly national or international reputation, as shown, for instance, by invitations to national or international symposia, election to prestigious scholarly or professional organizations, and holding of offices in national or international societies.

2. Letters from authorities in the candidate’s field assessing the candidate’s scholarly and professional contributions, particularly in regard to whether the candidate is among the leaders in his/her field.
3. Continuing excellence in teaching and advising.

4. Continuing excellence in service and public engagement, with evidence of distinctive contributions and leadership roles.

VI. SECTION ON ANNUAL REVIEWS OF PROBATIONARY FACULTY

The Department complies with the Procedures for Reviewing Candidates for Promotion and/or Tenure: Tenure-Track and Tenured Faculty as provided by Sections 16.3, 7.4, and 7.61 of the Faculty Tenure policy.

It is our Department’s practice to appoint three-person teams each year to review the productivity and performance of non-tenured faculty. Such review supports faculty professional development, modeling the ultimate tenure review process. The review team is appointed by the Department chair in consultation with the program area. All members of the review team are tenured in the Department, at least one person is from the program area, and at least one is a full professor.

Each year, the tenure-track faculty member prepares a dossier consisting of (1) products demonstrating research, teaching, and service accomplishments, and (2) descriptive statements summarizing accomplishments in those three areas. Each member of the review team evaluates one of the three areas, then the team as a whole evaluates the dossier and prepares the annual review document. That document is discussed with the faculty member (including recommendations for improvement) and presented to the department chair. The next step is the presentation of the dossier to the tenured faculty in the department and the vote on continuation or discontinuation. The final step is a letter from the chair to the Dean summarizing the review and making a recommendation regarding continuation. Consistent with University and CEHD procedures, that letter is reviewed by the faculty member and the annual review statement is signed by the chair and the faculty member (President’s Form 12). The chair’s letter, annual review, and faculty member’s CV are forwarded to the Dean.

Indefinite tenure may be granted at any time when the candidate has satisfied the requirements. A probationary appointment must be terminated when the appointee fails to satisfy the criteria in the last year of probationary service and may be terminated earlier if it appears that the appointee is not making satisfactory progress toward meeting the criteria within that period.

A. Authority/Responsibility:
Article IV, Section 2(h) of the By-Laws of the Department of Educational Policy and Administration states that:

“The chairperson of the Department will preside at an annual meeting wherein recommendations for promotion and tenure of faculty are established and will carry such resulting recommendations forward to the Dean of the College and will ensure that all recommendations are in conformance with the policies, guidelines, rules and regulations of the Department, College, Graduate School, and University on those matters related to personnel.”

All policies and procedures herein described are congruent with the Regents Policy on Faculty Tenure and Procedures and College of Education and Human Development Personnel Policies and Procedures. In particular, the Faculty Tenure policy indicates actions both required and optional that are not reiterated in this document.

B. Review:

1. All tenure-track faculty will be reviewed annually.

2. Non-tenured faculty seeking tenure may withdraw candidacy at any step in the process.

C. Explanation to Candidate:

1. At the beginning of a probationary appointment the Department chairperson will review the terms of the appointment with the probationary candidate. This review must make certain that years of prior service have been acknowledged and appropriately recorded and that there is a common understanding about the length of the probationary period. The candidate must be supplied with copies of the Faculty Tenure policy, tenure and promotion Procedures, relevant College personnel documents and this departmental policy and procedure document. The discussion must seek to make as clear as possible the application of the criteria. The review must inform the candidate about the procedures used in the Department to review teaching, research and service. The candidate must be made aware of the annual review process and become familiar with the annual faculty tenure record appraisal forms that will be completed. The candidate’s right to inspect the file and the right of access to information must be included in the review.
2. The Department chairperson will make a written summary of this meeting, including the time and date it took place, and place it in the candidate’s personnel record.

3. Beginning with the first year of the probationary period, the preparation of a file containing documentation relevant to an eventual tenure decision will be started. This file is only part of the candidate’s personnel file in the Department. It is accessible to the candidate and to all regular faculty senior in rank in the Department, while other portions of the candidate’s personnel file are accessible only to the candidate and to those who have reason to deal with particular information contained in it. This annual review file will include a summary statement of the candidate’s activities during each year, reports on the quality of teaching by whatever method has been established for the particular unit, copies of scholarly works and review of their merit and contribution to scholarship and any other data which may be relevant to the decision. The Faculty Annual Probationary Appraisal record for previous years will be included. The candidate has the obligation to review the file annually and make written comments or add material to it (Faculty Tenure, Section 5).

VII. SECTION ON IMPLEMENTATION PROCEDURES FOR PROMOTION AND TENURE DECISIONS

1. On or about September 16 of each year, the Department Chairperson will advise all non-tenured regular faculty of their impending review, will provide College and University guidelines for the preparation of materials and will appoint a committee of tenured faculty members, senior in rank, for each candidate to assemble and evaluate performance data.

2. Other regular faculty seeking promotion to associate or full professor will advise the Department chairperson of their intent on or before May 15 of the year before the review is to take place. A committee (see above) will be appointed for each such candidate.

3. Committee chairs will supervise the preparation of dossiers and other supporting materials.

4. Faculty committees will meet with their candidates to review the materials and statements.
5. The Department chairperson will annually review the dossier with each candidate and provide candidates with recommendations for improvements of the dossier.

6. The committee will prepare the final package of documents and supporting materials (including all publications) for presentation to the Department chairperson.

7. Prior to the special meeting, the final package will be made available for a time period of not less than two weeks and will be reviewed by each faculty member eligible to vote on that action.

8. All faculty, including those on leave, must be informed of candidates being considered for promotion and tenure. Those faculty on leave will be given the opportunity to review the final package and to vote and will be encouraged to do so.

9. Faculty eligible to vote on faculty renewal, promotion, and tenure decisions may vote by absentee ballots during annual renewal votes for probationary assistant and untenured associate professors. Faculty voting by absentee ballot must sign a statement indicating they have reviewed the material provided by the candidate and the candidate’s committee relevant to that renewal decision.

10. Faculty eligible to vote on promotion and tenure decisions must vote by written, unsigned secret ballot. The Department Chair will provide a copy of the file to every tenured faculty member who will be absent from the meeting but wishes to cast a ballot. Such faculty members will be given an opportunity to vote by written absentee ballot, which should be sent in a sealed envelope to the Department Chair. Proxy votes, telephone votes, fax votes, and email votes are not permitted.

11. The chairperson of the Department will call a special meeting of faculty for the purpose of evaluating all candidates for promotion and tenure. After open discussion of each candidate the faculty will vote on promotion or tenure in accordance with the policies and procedures of the College and University. Faculty votes will be taken on individual written, unsigned, and closed ballots. The ballots will be tabulated by two faculty designated by the
chairperson. The chairperson casts a ballot in his/her professorial capacity.

a. In the case of reviews of tenure-track assistant professors, votes will be taken on the following questions: (1) the candidate will be recommended for promotion to associate professor with tenure; (2) the candidate’s appointment will be renewed without tenure for another year; (3) the candidate’s appointment will be recommended for termination.

b. In the case of tenured faculty, a vote will be taken on a specific action, such as promotion from associate professor to full professor.

12. The results of the vote on promotion and tenure will be transmitted by the Department chairperson to the College of Education and Human Development as the recommendation of the faculty. This communication will include a composite statement of reasons for the action of the faculty, any substantive minority position, the record of the vote taken, and the faculty recommendation.

13. The decision for Department recommendation for promotion will be determined by a two-thirds majority of all eligible voting faculty.

14. The decision for Department recommendation for tenure will be determined by a two-thirds majority of all eligible voting faculty.

15. The chairperson will prepare and transmit to the College a separate statement of concurrence or disagreement with the faculty recommendation.

16. Faculty members under review for promotion or tenure will be informed by the chairperson of the recommendation of the faculty and chairperson and will be given an opportunity to review and respond in writing to all of the documents sent forward to the College and to the Senior Vice President for Academic Affairs and Provost.

17. The ballots cast will be maintained in official Department files along with all other related documents.
SECTION VIII. SECTION ON REVIEW OF TENURED FACULTY

The review of tenured faculty occurs annually. A post tenure review can be invoked under circumstances when a faculty member’s performance is substantially below the goals and expectations of the Department.

A. Annual Review of Tenured Faculty

The Department of Educational Policy and Administration conducts an annual review of all faculty (tenured and tenure track) as well as Professional and Administrative staff. The review coincides with and contributes to merit determinations.

During the spring semester, faculty members receive information from the department head concerning the annual review process, the review timeline, the annual report form, and the review criteria. Faculty members develop materials for annual review and submit these materials with their current vitae to the department head. These materials are then reviewed and rated by an elected three-person salary committee and the department chair. After the salary committee meets, the department head prepares a written response to each faculty member summarizing his/her evaluation and suggestions for future plans. The department head then prepares a proposal for merit increases that is presented to the Dean. The review letters are attached to the proposal. The department chair also meets with any individual faculty who request it to discuss their reviews and plans for the future. Any special increases, above and beyond the standard merit increases being proposed or mandated (e.g., promotion increases from the University), are forwarded to the Dean in a separate request.

Final approval for merit decisions rests with the dean.

B. Departmental Post Tenure Review

As described procedurally in the previous section, the Department has a very specific set of procedures for conducting annual reviews of the tenured faculty. Described here is a more specific delineation of the components and related criteria for the annual review, along with the way in which the annual review will be used to conduct a Special Post Tenure Review of faculty members whose functioning is deemed below what is expected.

Goals and Expectations Policy

The goals of reviewing the performance of tenured faculty on an annual basis are three-fold. First, the annual review serves as a means by which overall department performance can be discerned, paying particular attention to accomplishments aligned with the Department’s vision and mission. Second, the annual review serves as a means for determining allocation of compensation increases based on individual faculty merit. Third, the annual review serves as a means for identifying individual faculty members
whose performance does not meet departmental goals and expectations, thereby prompting further investigation for the purposes of identifying strategies for increasing support or for re-direction of effort.

Annual faculty accomplishments are assessed in three domains of practice: (1) teaching, which addresses the three sub-domains of classroom instruction, student advising, and program or course development; (2) research and development, which addresses the two sub-domains of publications and presentations, and external and internal funding; and (3) service and outreach, which addresses the three sub-domains of service to the discipline, service to the University of Minnesota, and engagement with the community.

The Department uses indicators and rubrics to assess performance in all three domains.

It is anticipated that specific work accomplishments vary somewhat annually. For example, publications may come in concentrations every few years given the cyclical nature of research projects. Or, teaching loads may vary given time allotted to research or to service or community work deemed important to the mission of the Department and approved by the Department Chairperson.

On the whole, however, it is expected that on an annual basis each faculty member provides evidences of active engagement in all three domains of practice. Faculty members whose performance for three consecutive years shows no such evidence of active engagement will be reviewed as specified in the following section.

**Procedures for Reviews**

1. When in the determination of the department chair a faculty member is performing below the goals and expectations of the unit, a post-tenure review is called for, and the tenured faculty will elect a committee composed of three full professors to review the case. The committee members will identify the chair. The committee will continue until the second review is completed and a recommendation is made.

2. If the peer faculty review committee, after reviewing all relevant documents and following the guidelines and procedures laid out in Section 7a of *Faculty Tenure*, concurs that the faculty member’s performance is substantially below the goals and expectations of the unit, the committee joins the department head in writing a letter to the faculty member specifying the deficiencies and setting a time period (usually by the next annual review) during which the faculty member should address the identified problems. Both the department head and the committee chair sign the letter. Both the [department] head and the elected committee should work with the faculty member to improve performance during the time specified.

3. At the end of the specified time, both the department head and the elected faculty review committee should again review the performance of the faculty member. If they again find that performance is substantially below the goals and expectations of the unit,
they can ask the dean to initiate special review as specified in *Faculty Tenure* Section 7a. To do so, they should send a letter or memorandum to the dean and to the faculty member, setting out their findings, with a copy of the documents they have reviewed. Both the department head and the committee chair sign the letter.
APPENDIX A

5.5 Exception For New Parent Or Caregiver, Or for Personal Medical Reasons. The maximum period of probationary service will be extended by one year at the request of a probationary faculty member:

1. On the occasion of the birth of that faculty member's child or adoptive/foster placement of a child with that faculty member; or

2. When the faculty member is a major caregiver for a family member[2] who has an extended serious illness, injury, or debilitating condition. A faculty member may use this provision no more than two times; or

3. When the faculty member has an extended serious illness, injury, or debilitating condition.

The request for extension must be made in writing within one year of the events giving rise to the claim and no later than June 30 preceding the year a final decision would otherwise be made on an appointment with indefinite tenure for that faculty member.
APPENDIX B

7.12 **Departmental Statement.** [6] Each department or equivalent academic unit must have a document that specifies (1) the indices and standards that will be used to determine whether candidates meet the threshold criteria of subsection 7.11 ("General Criteria" for the awarding of indefinite tenure) and (2) the indices and standards that will be used to determine whether candidates meet the threshold criteria of subsection 9.2 ("Criteria for Promotion to Professor"). The document must contain as an appendix the text and footnotes of subsections 7.11 and 9.2, and must be consistent with the criteria given there but may exceed them. Each departmental statement must be approved by a faculty vote (including both tenured and probationary members), the dean, and other appropriate academic administrators, including the Senior Vice President for Academic Affairs and Provost. The chair or head of each academic unit must provide each probationary faculty member with a copy of the Departmental Statement at the beginning of the probationary service.