HHH Institute of Public Affairs
Statement Required by Section 7.12 of Regents Policy on Faculty Tenure and Promotion

Revisions approved by HHH Institute Faculty, 8 October 2008; expiration date, October 21, 2018. Approved by the Senior Vice President for Academic Affairs and Provost, October 21, 2008

I. Introductory Statement

This document describes with more specificity the indices and standards that will be used to evaluate whether candidates meet the general criteria in Section 7.12 of the Regents Policy on Faculty Tenure. For a complete perspective, the reader is advised to review Sections 7 and 9 in their entirety as well as the Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track or Tenured Faculty.

II. Institute Mission Statement
(adopted by the HHH Institute Graduate Faculty and Executive Council in January and February 2006)

The Hubert H. Humphrey Institute of Public Affairs inspires, educates, and supports innovative leaders to advance the common good in a diverse world.

The Institute pursues its mission by using its resources and those of the University to integrate:

• Preparation of students for leadership in public affairs;
• The bridging of disciplines across the University and larger community to advance public affairs scholarship; and
• Public engagement and scholarship to address important issues and to solve problems facing Minnesota, the nation, and the world in a non-partisan setting.

III. Goals and expectations for faculty members

All members of the Humphrey Institute tenure-track faculty are expected to engage in research, to make published contributions to scholarship, to fulfill obligations as teachers, to share in the service necessary for the successful functioning of the Institute and University, and, consistent with expectations for their academic rank and academic expertise, to engage in professional and public service and outreach.

All tenured faculty members are expected to devote a portion of their time to all three kinds of activity.

All members of the Humphrey Institute faculty (tenured and tenure-track) are expected to submit an annual report of activities for a review by peers elected to a merit review committee. Faculty who do not submit an activities report in time for consideration by the merit review committee will be evaluated as not having conducted any activities during the year in review.
IV. Criteria for Tenure

The faculty of the Institute is committed to the generation of knowledge through research and professional writing, to the transmission of knowledge through teaching, and to service to the Institute, University, and professional organizations, and outreach to the wider public.

A. Distinction in Research

For the granting of tenure, the research criterion is significant published research of a disciplinary or interdisciplinary nature, and evidence of promise for future publication. A candidate’s research must be judged as high quality by external evaluators, and must include articles in refereed journals, and/or refereed books or chapters of books published by reputable presses, but each publication must be judged on its own merit.

Criteria used in evaluating research and publications take different forms:

- work that offers original or fresh insight into a policy or professional problem;
- empirical work relevant to policy and/or useful to professional practitioners and the public;
- work that provides new or more fully elaborated theoretical understanding of policy or disciplinary questions;
- work that demonstrates such intellectual rigor in analysis and organization, that it stands as unique and valuable;
- work that makes effective use of non-print media.

No explicit quantity of publication is specified; the emphasis is on the quality of work accomplished, and on evidence of a continuing program of research and scholarly publication on important public affairs topics, and of potential for further scholarly accomplishment.

B. Effectiveness in Teaching

Teaching is accomplished in Institute and other University courses, in advising graduate students, especially with respect to professional papers, master theses, and Ph.D. dissertations, in recruiting new students and helping them find internships and jobs, and in directing and supervising the work of research assistants on research projects. Effectiveness in classroom teaching and in other forms of student instruction and professional presentation will be assessed through consideration of course materials (syllabi, reading lists, student projects, course web sites, study guides, examinations, etc.), the development of new and innovative courses, formal class evaluations by students, oral and written student feedback, observations of classes attended by other faculty members, analysis of records of course enrollments, and papers, theses, and student dissertations produced under the candidate’s guidance.

C. Significant Achievement in Service

For the granting of tenure, Institute faculty are expected to engage in a mix of Institute, University, professional and public service and outreach activities, and to demonstrate significant achievements in one or more of these activities, including honors and awards for service. Some trade-offs among activities are possible and shall be negotiated in
advance with the Dean and Associate Deans. Public service, professional service, Institute service, University service and outreach contributions should be documented. Service should be evaluated in terms of qualitative contribution and impact rather than amount of time devoted to each activity.

**Public Service** includes service and outreach to public sector, non-profit and international organizations and outreach to public audiences that may take any of the following documented forms:
- Holding of public office;
- Services as advisors or consultants – paid or pro bono – to public, non-profit and private sector organizations, including but not limited to serving on boards, advice and help in fashioning strategy, drafting of public reports, providing intellectual frameworks or bodies of evidence in support of policy initiatives (paid consulting activities should be so noted);
- Invited testimony before public bodies or commissions;
- Public speaking engagements;
- Articles in public affairs journals, public interest and community group newsletters, or other print media;
- Radio and television appearances;
- Opinion editorial pieces in newspapers or magazines; and
- Press coverage of faculty member’s activities.

**Professional service** involves leadership roles in professional associations; service on commissions or committees set up by professional organizations; journal editorship or editorial board roles; and service as formal reviewer of journal articles and other scholarly manuscripts, research proposals for foundations, nominations of candidates for honorary titles (e.g. election to National Academies); review of files for promotion and tenure at other universities; and articles in professional newsletters and magazines.

**Institute and University service** includes membership on committees and leadership roles therein; initiatives that strengthen the Institute and/or University mission; and good citizenship service in Institute affairs (e.g., student and faculty recruitment efforts, attendance at faculty meetings, and mentoring of assistant professors).

**V. Application of the Criteria**

A candidate for indefinite tenure must show evidence of excellence in all three areas of research, teaching and service.

The Humphrey Institute recognizes that institutional service is required of all regular faculty members, but service expectations are fewer for probationary faculty than for tenured faculty.
VI. Promotion

**To Associate Professor:** Promotion to associate professor is based on the same criteria as the granting of tenure.

**To Professor:** For promotion to professor, in addition to criteria used for associate professor, a candidate must demonstrate the following for each category:

- **A. Research:** Attainment of national or international scholarly reputation on the basis of significant publications beyond those that supported the granting of tenure, and other important contributions to the individual's area of specialization. The research will be judged by external reviewers as well as colleagues' assessments.

- **B. Teaching:** A reputation for distinguished teaching (as elaborated in III-B), as indicated by superior performance over several years measured by the factors listed under the criteria for awarding indefinite tenure.

- **C. Service:** Substantial service contributions in two or more of the service categories required for tenure: Institute and University service, professional service and public service.
VII. Post-Tenure Review

Approved by HHHI Faculty, September 2000. Revised and approved by HHHI Faculty, March 11, 2004. Revised and approved by HHHI Faculty, October 8, 2008.

A. Goals and Expectations for Faculty Members
(Pursuant to Section 7a.1 of Faculty Tenure Code – Review of Faculty Performance)

Members of the Humphrey Institute tenured faculty have the goals and expectations regarding teaching, scholarly productivity, and contributions to the service and outreach functions of the unit listed in our unit 7.12 Statement and can be summarized as follows:

All tenured and tenure-track members of the Humphrey Institute faculty are expected to engage in research, to make published contributions to scholarship, to fulfill obligations as teachers, to share in the service necessary for the successful functioning of the Institute and University, and, consistent with expectations for their academic rank and academic expertise, to engage in professional and public service and outreach.

B. Standards and Procedures
(Pursuant to Section 7a.2, 7a.3 of the Regents Policy on Faculty Tenure)

In compliance with University policy, the faculty elects a Promotion and Tenure Committee that will serve as the post-tenure review committee. This committee shall consist of three members of the regular tenured faculty who do not hold administrative appointments. One member of the committee will be elected each year by secret ballot. The elections shall be conducted so that the term of one member expires each year. The initial election will be for one-, two-, and three-year terms; vacancies will be filled for the remainder of the unexpired term. A majority of those present and voting is required for election. No one will serve on the committee for two consecutive terms.

If in the event the post-tenure review committee is convened and it is determined that a member cannot serve because they are of a rank lower than the faculty member in review or because of a conflict of interest, the faculty shall elect a replacement to serve for this purpose.

Under both the Compensation Policy and Faculty Tenure policy Section 7a.2, the faculty of the Institute must elect a peer faculty review committee consisting of three members who will review annually the performance of each faculty member who holds an appointment at the Institute. If the Dean and the annual faculty merit review committee conclude in the course of the annual merit review that a faculty member has performed at a level that is substantially below the goals and expectations of the Humphrey Institute, the Dean must refer the matter to the post-tenure review committee for review in accordance with the University’s post-tenure review policy. The merit review committee shall consider rankings of 1 on a 5-point scale (1 being the lowest ranking) for two of the three categories (teaching, research, service) to be substantially below expectations of performance and, absent an explicit finding of mitigating circumstances for the substandard performance, a trigger for recommending to the Dean a post-tenure review.

The Dean will provide the post-tenure review committee with such information including comparison information, as may be necessary to proceed appropriately. The post-tenure review committee will conduct the review in accordance with the University’s Faculty Tenure policy and accompanying procedures. If the Dean concurs with the committee that the
A faculty member has performed at a level that is substantially below the goals and expectations of the Humphrey Institute, the Dean will inform the faculty member by letter (signed by both the dean and elected post-tenure review committee chair), identifying the deficiencies and establishing a time period (per University policy, not less than one year from the date of the letter) during which the faculty member should address the identified problems.

If, at the end of the specified time period, both the Dean and the post-tenure review committee again find substandard performance, special review will be initiated in accordance with the University’s Faculty Tenure policy and accompanying procedures.

A special review panel is designated for each case separately consisting of five tenured faculty members of equal or higher rank than the individual being reviewed. They need not be members of the academic unit conducting the review. The faculty member under review may designate one member of the panel, from anywhere in the University. The remaining members are elected by secret ballot.

The special review panel conducts a review of the individual faculty member. The panel collects information, including information and documentation from the faculty member and the dean that reflects on the faculty member’s performance. The panel may review the scholarly work of the faculty member, teaching evaluations, and other evidence of performance such as negotiated goals, tasks and accomplishments. The panel may also seek internal and external reviews. All documentation is placed in a file and the faculty member is given at least two weeks to review it and make a statement to the review panel (orally or written). The panel then prepares and signs its report and recommendations. (The special review process takes two to three months.) The faculty member may have the assistance of an advisor or advocate throughout the process and is encouraged to have the counsel of a colleague.

The special panel may recommend a number of actions including: (1) terminate review, (2) alter allocation of effort, (3) suggest improvements, (4) continued special review, (5) salary reduction, or (5) dismissal, or a combination of these actions. The dean need not implement all of the recommendations from the panel, but may not impose additional or more severe measures without following proper procedures.