

# UNIVERSITY OF MINNESOTA

Twin Cities Campus

Hubert H. Humphrey School of Public Affairs

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

Revisions approved by HHH School Faculty, 5 December, 2013;

Expiration date, April 14, 2024.

Approved by the Senior Vice President for Academic Affairs and Provost, April 10, 2014.

### **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. School Mission Statement**

**(adopted by the HHH School Graduate Faculty and Executive Council in January and February 2006)**

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

The School 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 School 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 School 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 School 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 School is committed to the generation of knowledge through research and professional writing, to the transmission of knowledge through teaching, and to service to the School, 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. Success in attracting competitive internal and external research grants and fellowships will be used as one of the criteria for evaluating visibility. The evaluation must therefore list and appraise the relative competitiveness of grants and fellowships received.

##### **B. Effectiveness in Teaching**

Teaching is accomplished in School 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, student dissertations produced under the candidate's guidance, and success in obtaining teaching-related grants and fellowships.

##### **C. Significant Achievement in Service**

For the granting of tenure, School faculty are expected to engage in a mix of School, 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, School 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;
- Success in obtaining service-related grants or contracts
- 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.

**School and University service** includes membership on committees and leadership roles therein; initiatives that strengthen the School and/or University mission; and good citizenship service in School 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 School 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 IIIB), 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: School and University service, professional service and public service.

## **VII. Post-Tenure Review**

Approved by HHH Faculty, September 2000. Revised and approved by HHH 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 the *Regents Policy on Faculty Tenure – Review of Faculty Performance and the Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty*)

Members of the Humphrey School tenured faculty must meet 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 School 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 School and University, and, consistent with expectations for their academic rank and academic expertise, to engage in professional and public service and outreach. The distribution of effort among these three spheres of professional activity may vary by individual and over time in the course of a faculty member's career. For example, a tenured member of the faculty may sometimes assume administrative and/or committee duties that have the potential of diminishing the time available for research and teaching. Some members of the faculty may at some stages of their careers legitimately devote relatively more effort to teaching than to research and vice versa. Faculty members are expected to have some level of documented activity that meets minimum standards in at least two of the three categories (teaching, research and service) in a given year.

### **Research**

Tenured faculty are expected to pursue an active agenda of research in their area or areas of academic specialization. While the extent and nature of research activity may vary over time, within any given year tenured faculty should normally be able to report at least one substantial accomplishment within one or more of the following categories:

- publication of peer-reviewed books, articles, book chapters, encyclopedia articles,
- publication of an edited scholarly volume, non-peer reviewed book chapter, policy brief or policy report.;
- publication of work that makes effective use of non-print media
- refereed or invited research presentation at professional conferences or at other academic institutions;
- organization of a scholarly conference, symposium, workshop, or panel.
- success in attracting competitive internal and external research grants and fellowships.

### **Teaching**

Tenured faculty are expected to remain effective teachers and to be actively engaged in communicating knowledge and in supervising, mentoring, or advising students, in compliance with the Humphrey School Workload Policy and the University's equal opportunity policy. This includes:

- teaching courses in the areas of training and research specialization as assigned by the associate dean in light of the school's curricular needs;
- maintaining effectiveness in teaching as demonstrated by student evaluations, peer observation of teaching, and/or peer review of syllabi and other course materials;
- advising students and being available to students outside of class (e.g., during office hours or via email)

## **Service**

Tenured faculty are expected to perform a mix of public service and outreach, School service, University service, and service to the profession.

**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;
- success in obtaining service-related grants or contracts
- 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.

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

## **B. Standards and Procedures**

(Pursuant to Section 7a.2, 7a.3 of the *Regents Policy on Faculty Tenure* and 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 School 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 School. 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 School, 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 for Reviewing Candidates for Tenure and/or Probation: Tenure-Track and Tenured Faculty*. If the Dean concurs with the committee that the faculty member has performed at a level that is substantially below the goals and expectations of the Humphrey School, 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 performance substantially below goals and expectations, special review will be initiated in accordance with the University's *Faculty Tenure* policy and accompanying procedures. The case is referred to the Senior Vice President for Academic Affairs and Provost (SVPP) who will undertake an initial review of the case to determine if a special peer review is warranted. This provostal review is required in the case of colleges that are single units such as Humphrey School. If the SVPP concurs with the review of the dean and the post-tenure review committee, then the processes described below begin.

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.

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.