

**UNIVERSITY OF MINNESOTA
COLLEGE OF EDUCATION AND HUMAN DEVELOPMENT
Department of Organizational Leadership, Policy, and Development**

**GUIDELINES FOR STANDARDS, POLICIES, AND PROCEDURES FOR
PROMOTION AND TENURE REVIEW OF FACULTY
As Required by Section 7.12 of the
Regents Policy on *Faculty Tenure***

(Approved by the OLPD Faculty on May 14, 2012; Approved by the Senior Vice President and
Provost on January 22, 2013)

I. INTRODUCTORY STATEMENT

Overview

This document describes the indices, standards, and procedures that will be used to evaluate whether candidates meet the general criteria for tenure and/or promotion in Sections 7 and 9 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*. It also describes the department's implementation of subsection 7a concerning the review of tenured faculty. The College of Education and Human Development *Academic Personnel Policy and Procedures Manual* can also be consulted.

Frames of Reference

The Department's 7.12 statement is framed by and based on the following:

- *Mission Statement* of the University of Minnesota
- *Mission Statement* of the College of Education and Human Development
- *Mission Statement* of the Department of Organizational Leadership, Policy, and Development
- *Sections 7, 7a, and 9* of the *Regents Policy on Faculty Tenure*
- *7.12 Values Statement* of the College of Education and Human Development
- *Procedures for Reviewing Candidates for Promotion and/or Tenure: Tenure-Track and Tenured Faculty*

The first five of these are presented below, in whole or in part.

Mission Statement of the University of Minnesota

"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:

- **Research and Discovery**
Generate and preserve knowledge, understanding, and creativity by conducting high-quality research, scholarship, and artistic activity that benefit students, scholars, and communities across the state, the nation, and the world.
- **Teaching and Learning**
Share that knowledge, understanding, and creativity by providing a broad range of educational programs in a strong and diverse community of learners and teachers, and prepare graduate, professional, and undergraduate students, as well as non-degree-seeking students interested in continuing education and lifelong learning, for active roles in a multiracial and multicultural world.
- **Outreach and Public Service**
Extend, apply, and exchange knowledge between the University and society by applying scholarly expertise to community problems, by helping organizations and individuals respond to their changing environments, and by making the knowledge and resources created and preserved at the University accessible to the citizens of the state, the nation, and the world.

In all of its activities, the University strives to sustain an open exchange of ideas in an environment that embodies the values of academic freedom, responsibility, integrity, and cooperation; that provides an atmosphere of mutual respect, free from racism, sexism, and other forms of prejudice and intolerance; that assists individuals, institutions, and communities in responding to a continuously changing world; that is conscious of and responsive to the needs of the many communities it is committed to serving; that creates and supports partnerships within the University, with other educational systems and institutions, and with communities to achieve common goals; and that inspires, sets high expectations for, and empowers individuals within its community." (www1.umn.edu/twincities/hist.php)

Mission Statement of the College of Education and Human Development

"The 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" (www.cehd.umn.edu/about/default.html)

Mission Statement of the Department of Organizational Leadership, Policy, and Development

"The Department of Organizational Leadership, Policy, and Development is a leader in advancing knowledge about educational and organizational change in local, national, and international contexts. Our research, teaching, and outreach reflect a commitment to interdisciplinary and intercultural engagement with educators, scholars, and policy makers seeking to enhance leadership, policy, and development around the globe."
(www.cehd.umn.edu/olpd)

Section 7.11 of the Regents Policy on Faculty Tenure: 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 [FN 2]. This determination is reached through a qualitative evaluation of the candidate's record of scholarly research or other creative work, teaching, and service [FN 3]. The relative importance of these criteria may vary in different academic units, but each of the criteria must be considered in every decision [FN 4]. 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 considered when applicable. The awarding of indefinite tenure presupposes that the candidate's record shows strong promise of his or her achieving promotion to professor."

[FN 2] "'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."

[FN3] "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."

[FN4] "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 Regents Policy on Faculty Tenure: 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 [FN 7]. This determination is reached through a qualitative evaluation of the candidate's record of scholarly research or other creative work, teaching, and service [FN 8]. 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."

[FN 7] "'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."

[FN 8] "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 Values Statement to Guide Our Unit 7.12 Document

“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 *Faculty Tenure* policy, Section 7.11 regarding the conferral of indefinite tenure and Section 9.2 for promotion to professor.

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.

Unit 7.12 statements must recognize multidisciplinary, multiculturalism, and public engagement in faculty research, teaching, and service, and must show how excellence in these areas is reflected in the standards for evaluating candidates for promotion and tenure. Units are encouraged to weave into their 7.12 statements how faculty work that involves models for public engagement, multicultural initiatives or multidisciplinary scholarship is to be considered in the context of promotion and tenure. Not every faculty member is required to be involved in multidisciplinary, multicultural, or public engaged work. However, faculty at our land grant university are expected to contribute to the public good through all of their work.”

II. AWARDING OF INDEFINITE TENURE

Overview

Evaluations related to the awarding of indefinite tenure are based on the general criteria in Section 7.11 of the *Regents Policy on Faculty Tenure*.

A. Research and Scholarly Work

As stated in the University of Minnesota's *Regents Policy on Faculty Tenure*, "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" (*Faculty Tenure*, Section 7.11, footnote 3).

The Department's assessment of a faculty member's research and scholarly work will be based on evidence of rigor, relevance, effect and originality.

Rigor. Research accomplishments will be assessed by the degree to which they utilize and adhere to the principles and practices that are basic to disciplined inquiry. Primary consideration will be given to scholarly work that has been reviewed by national and international experts in the field.

Relevance. Research accomplishments will be assessed by the importance of the questions, issues, or problems being addressed. Multiple foci of research and scholarly work are appropriate and encouraged.

Effect. Research accomplishments will be assessed by the degree to which they make contributions to defined and new areas of study. When appropriate, the accomplishments will be assessed in terms of their impact on professional practice or educational policy, locally, nationally and internationally. Research accomplishments should reflect a research effort that is coherent and programmatic and advances understanding.

Originality. Research accomplishments will be assessed by the degree to which they reflect originality, independence, and scholarly responsibility. One way of demonstrating this is through sole or first authorship. However, collaborative and interdisciplinary work is valued. The Department also recognizes that there are multiple forms of scholarship.

The Department's assessment of the faculty member's research and scholarly work will place primary weight on the following: published or in-press works (refereed journal articles, books, book chapters, refereed proceedings, monographs, technical reports), research funding, and presentations at professional and scholarly meetings. Excellence in research and scholarship is more important than the number or length of publications. Failure to gain support for scholarly inquiry through grants should not be negatively viewed when all other evidence of research and scholarly work points to high levels of distinction and excellence. Multidisciplinary, multicultural, and publicly-engaged research and scholarly work are encouraged.

The quality of the faculty member's research and scholarly work will be assessed by experts both internal and external to the Department and University. Judgments will be based on the rigor, relevance, effect, and originality of the research and scholarly work, as well as assessments of recognitions and awards received for disciplined inquiry.

B. Teaching and Advising

As stated in the University of Minnesota's *Regents Policy on Faculty Tenure*, "'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" (*Faculty Tenure*, Section 7.11, footnote3).

As faculty members in the Department of Organizational Leadership, Policy, and Development within the College of Education and Human Development, we value teaching. Our Department is an award-winning unit with respect to the quality of its teaching. Candidates for tenure and/or promotion need to provide evidence for effective and high-quality teaching. Acknowledging the complexity of judging the quality of teaching and learning, it is important that a range of different types of evidence of effective teaching and significant student learning be used. "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. Also recognized is the value of integrating teaching with research and service.

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. Faculty are encouraged to explore and implement innovative or new pedagogies. 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.

The Department's assessment of a faculty member's teaching and advising will be based on evidence of quantity, quality and impact.

Quantity. In regards to teaching, a record should be provided of courses taught, instructional development (including newly developed or significantly revised classroom and/or online courses), invited lectures, visiting professorships, etc. Course information should include number of times taught, semester taught, and number of students.

In regards to student advising/mentoring/supervising, a record should be provided of current advising load (number of advisees, degree type: undergraduate, M.Ed., MA, doctoral) and completed M. A., Ed.D, and Ph.D. and other post-baccalaureate student committees served as member, reader, or chair.

Quality. A number of qualitative indicators may be examined. Among these will be student comments on 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.

Evidence of the quality of teaching and advising includes but is not limited to:

- summary of courses taught, directed, or developed by the candidate, at both undergraduate and graduate levels;
- number of degree candidates advised and graduated in both professional and graduate programs;
- evaluations by students, including both quantitative ratings and qualitative comments on University-required end of course evaluation forms and faculty-solicited letters;
- 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);
- progress in teaching, as indicated by measures faculty members have taken to respond to feedback and improve their teaching; and
- teaching and advising awards obtained.

Evidence of the trajectory of a candidate's teaching should determine if improvement over time has occurred or if teaching has remained unchanged at a high level of competence, and what the candidate has done to improve her or his own teaching, for example, participation in University programs designed to improve teaching effectiveness such as the Early Career Teaching Program, Mid Career Teaching Program, or the Multicultural Teaching and Learning Fellowship

Program from the Center for Teaching and Learning. Further evidence of the trajectory of a candidate's teaching could include student evaluations of the same course evaluated over time or multiple peer evaluations of the candidate's teaching conducted over time. Recognitions and awards for teaching and the criteria for these recognitions and awards are also applicable.

Evidence of quality advising/mentoring/supervising may include:

- documentation of supervising and mentoring responsibilities related to advising;
- thesis/dissertation titles and places of employment for past graduate advisees/co-advisees;
- written comments from students;
- record of supporting students' professional development through publications, conference presentations, nominations for awards,
- evidence of collaborative work with students

Impact. Indication of learning by students during course and later use of this learning in practice. Reporting of data on student learning outcomes when available is valued. Evidence of success of former students in subsequent courses, in future academic pursuits, or in positions taken after graduation are encouraged to be provided when available. Samples of students' work may be included.

C. Service

As stated in the University of Minnesota's *Regents Policy on Faculty Tenure*, "'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" (*Faculty Tenure*, Section 7.11, footnote 3).

Service activities that involve public outreach or are multidisciplinary or multicultural in ways consistent with the University, College, and Department mission should be recognized. The OLPD Department's mission is consistent with these criteria. Examples of service will be evaluated based on multiple types of contributions to institutions, agencies, associations or professional practices at local, state, national, and international levels. Such service activities 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 functions;
- having an impact on local, state, national, and international institutions and organizations; and
- influencing professional practices.

Particular value will be given to service that is integral to one's area of scholarly inquiry.

The Department's assessment of a faculty member's service will be based on evidence of quantity, quality and impact.

Quantity. 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. A list of services should be provided. Description should include recipient of service, its duration, and a description of responsibilities. Leadership responsibilities should be described for service to professional organizations.

Quality. Qualitative assessments of service will be obtained from peers and from relevant organizations, as well as other sources. Judgments by users of expertise-related service are appropriate. Evidence might include letters of affirmation, repeated requests for expertise-related service within and outside the University, notation that candidate was invited or sought after for consultation, and materials developed through service activities. Evidence should address the extent of knowledge, thoroughness, follow-through, and initiative, as appropriate.

Impact. Judgments should consider the extent of influence. Relationship to discipline, Department, College, and University mission should be described. Development of working relationship with persons, agencies, institutions, and organizations important to the individual's field should be documented. Description of how expertise-related service has improved effectiveness in other University activities, improved one's community or profession, and/or added to the prestige of the University should be included.

III. EXTENDING THE PROBATIONARY PERIOD

Probationary faculty have the right to extend their probationary periods 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 spent in a probationary period. In other words, when considering the record of probationary faculty who extended the probationary period, criteria for promotion and tenure are no different from the criteria for those who have not had an extension.

IV. SECTION ON PROMOTION TO ASSOCIATE PROFESSOR

Since promotion to this rank is always associated with a decision concerning tenure, such a promotion must meet tenure standards (*Faculty Tenure*, subsection 6.3). 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. Former advisors should not be included. 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 candidates to inspect them. External reviewers must be told if and when a candidate has extended the probationary period and for how long. They are not told the reason the probationary period was extended but should be advised to allow for reduced productivity during the time the probationary period was extended.

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 in the same ways as scholarship about 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 cases where the departments are both in the College of Education and Human Development (CEHD), the Department will submit a written request to and obtain authorization in writing from the Dean of CEHD. In cases where any of the appointments are held by a unit outside CEHD, the Department will submit a written request to obtain authorization in writing from the Deans and/or departments concerned. 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 Organizational Leadership, Policy, and Development, in addition to the criteria used for associate professor appointments, includes evidence demonstrating:

- 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;
- the candidate's standing in the field, based on letters from authorities in the candidate's field that assess the candidate's scholarly and professional contributions, particularly in regard to whether the candidate is among the leaders in his/her field;
- continuing excellence in teaching and advising; and
- continuing excellence in service and public engagement, with evidence of distinctive contributions and leadership roles.

VI. SECTION ON ANNUAL REVIEWS OF PROBATIONARY FACULTY

Overview

The Department complies with the *Procedures for Reviewing Candidates for Promotion and/or Tenure: Tenure-Track and Tenured Faculty* as provided by 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 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

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

All tenure-track faculty will be reviewed annually. Non-tenured faculty seeking tenure may withdraw candidacy at any step in the process.

C. Explanation to Candidate

At the beginning of a probationary appointment, the Department chairperson will review the terms of the appointment with the 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.

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.

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, 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.

VII. SECTION ON IMPLEMENTATION PROCEDURES FOR PROMOTION AND TENURE DECISIONS

Within the first two months of each academic year, the Department Chairperson will advise all non-tenured regular faculty of their upcoming faculty review process, and will provide them with College and University guidelines for the preparation of materials.

For each faculty member to be reviewed, the Department Chairperson will appoint an Ad Hoc Dossier Preparation Committee (DPC) of three faculty members senior in rank to the candidate. The Chairperson will select and appoint two, at least one of whom should be knowledgeable about the candidate's major field of work and interest, and appoint a third faculty member nominated by the candidate.

Other regular faculty seeking promotion to associate or full professor will advise the Department chairperson of their intent on or before March 1 of the year before the review is to take place. A committee (see above) will be appointed for each such candidate.

Committee chairs will supervise the preparation of dossiers and other supporting materials. Dossiers should include: the Department's 7.12 statement; the candidate's curriculum vitae; statements related to teaching, research, and service/outreach; copies of five publications; summaries of course evaluations, syllabi and other course materials, and any materials relevant to the review. All letters received from solicited external reviewers must be included in the candidates' dossier. The CVs of all outside reviewers must also be part of the file along with a description of each reviewer.

Faculty committees will meet with their candidates to review the materials and statements.

The Department chairperson will review the dossier with each candidate and provide candidates with recommendations for improvements of the dossier.

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

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

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

Faculty eligible to vote on annual reviews and promotion and tenure decisions must vote by written, unsigned secret ballot. The Department Chair will make available 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 may be in the form of an email or fax.

The chairperson of the Department will call a special meeting of faculty for the purpose of conducting annual reviews and evaluating all candidates for promotion and tenure. After 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 her/his professorial capacity.

“The tenured faculty of the academic unit may recommend that a probationary faculty member be granted indefinite tenure or that the appointment be terminated. If it does neither, it is presumed to recommend a renewal of the appointment. In the final probationary year, if the tenured faculty does not recommend an appointment with indefinite tenure, it must recommend termination of the appointment. The recommendation is made by a vote of the regular faculty with indefinite tenure in the unit. The presiding officer is not disqualified from voting merely because of office.”
(Section 7.3, *Faculty Tenure*).

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

Synthesis Report of the Faculty Decision:

The faculty shall elect a representative from within the Department to serve as the recorder for the faculty during the faculty meeting at which matters of promotion or tenure for individual faculty members are deliberated. It shall be the duty of the faculty representative to record and synthesize the faculty discussion regarding each candidate without attribution. The vote of the faculty should be recorded by the faculty representative.

The draft synthesis of the discussion along with the faculty votes should first be made available to the eligible voting faculty so that appropriate revisions may be made. The final synthesis of the faculty discussion and the record of the faculty vote as prepared by the faculty representative shall constitute the faculty’s decision and should be presented to the Department Chairperson for transmittal to the Dean.

The Department chairperson will transmit the results of the vote on promotion and tenure 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.

The chairperson will prepare and transmit to the College her/his separate statement of concurrence or disagreement with the faculty recommendation.

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.

The ballots cast will be maintained in official Department files along with all other related documents.

VIII. SECTION ON REVIEW OF TENURED FACULTY

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

A. Annual Review of Tenured Faculty

The Department of Organizational Leadership, Policy, and Development 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 chair 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 Chair prepares a written response to each faculty member summarizing his/her evaluation and making suggestions for future plans. The Department Chair 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 all faculty members at least once annually 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

A. Goals and Expectations for Faculty Members

(Pursuant to Section 7a.1 of Faculty Tenure Code – Review of Faculty Performance)

Tenured members of the faculty in Department of Organizational Leadership, Policy, and Development (OLPD) are subject to the goals and expectations regarding teaching, scholarly productivity, and contributions to the service and outreach functions of the unit listed in our 7.12 Statement. Specifically, tenured OLPD faculty members are expected to engage actively in research, make published contributions to scholarship, fulfill obligations as quality teachers, share in the service necessary for the successful functioning of the Department and University, and engage in professional and public service and outreach.

Tenured faculty in the Department are expected to continue to be recognized and remain visible within their scholarly area of expertise and must continue to produce a body of research that is rigorous, relevant, significant in its effect, and original. Active research engagement is

understood to include a faculty member's performance of one or more of the following each year:

- Publishing in scholarly venues
- Applying for or carrying out work associated with grants
- Presenting at regional, national, or international forums
- Developing an active research agenda

The Department of Organizational Leadership, Policy, and Development expects faculty to be invested in serving students through high-quality teaching, advising, and program development. This expectation includes a faculty member's performance of the following each year:

- Teaching 2 courses each term of the academic year unless a redistribution of effort has been established and documented with the chair
- Achieving "somewhat agree" to "strongly agree" on average student ratings in each class
- Advising approximately the average number of students for her/his program area, or serving on an average number of graduate student committees for the department
- Contributing actively to the development of her/his program, department or college

The Department of Organizational Leadership, Policy, and Development expects faculty to share in the service necessary for the successful functioning of the Department and University, and to engage in professional and public service and outreach. Specifically, this expectation includes a faculty member's performance of at least one of the following each year:

- Participating in disciplinary service (e.g., editorial board, disciplinary committee, etc.)
- Serving as a member of committees at the department, college or university levels
- Participating in regular faculty meetings and those meetings designated for particular agendas such as discussion of promotion and tenure
- Serving in outreach activities locally, nationally, or internationally

B. Standards and Procedures

(Pursuant to Section 7a.2, 7a.3 of the *Regents Policy on Faculty Tenure*)

In compliance with University policy, the tenured faculty elects the Post-Tenure Review Committee. This standing Committee shall consist of four members of the regular tenured faculty who do not hold administrative appointments at the level of department chair or above. Two members of the committee will be elected each year by the members of the regular tenured faculty using a secret ballot. The terms shall be for two years, except for the initial election in which two members shall be elected to one-year terms. If the Post-Tenure Review Committee is convened and it is determined that a member cannot serve because he or she is lower in rank than the faculty member in review or because of a conflict of interest, that member will recuse him/herself. If two members or more recuse themselves, the members of the regular tenured faculty shall elect replacements to serve for this purpose.

In addition, the Department's faculty annually elect a Faculty Merit Review Committee consisting of three tenured members who review the annual performance of each faculty member

who holds an appointment in the Department, with the exception of full professors who hold administrative appointments at the Chair level or higher. In the course of the annual merit review, the Faculty Merit Review Committee will provide scores on all departmental merit-review indicators.

In the event that the Faculty Merit Review Committee assigns to a faculty member rankings of 1 or 2 (on a 5-point scale) on 2/3 or more of the indicators associated with research and teaching, the Department Head will review the faculty member's data for the current and the previous year and will consider the faculty member's performance more generally in relation to the department's goals and expectations. If the Department Head determines that the faculty member has failed to meet goals and expectations in two consecutive years, absent an explicit finding of mitigating circumstances for the substandard performance, s/he must refer the matter to the Post-Tenure Review Committee for review in accordance with the University's post-tenure review policy.

The Department Head will provide the Post-Tenure Review Committee with information related to the faculty member's performance during a two-year time period, including but not limited to, annual review letters, college activity reports, and curriculum vitae. The Post-Tenure Review Committee will conduct the review in accordance with the University's *Faculty Tenure* policy and accompanying procedures. If the Department Head and the Committee concur that the faculty member has performed at a level that is substantially below the goals and expectations of OLPD, the Department Head will inform the faculty member by letter (signed by both the Department Head and Post-Tenure Review Committee chair), identifying the deficiencies, specifying steps to be taken by the faculty member to address 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 Department Head and the Post-Tenure Review Committee again find the faculty member's performance to be substantially below the goals and expectations of OLPD, they will jointly request that the dean initiate a special peer review.

APPENDIX A

Extension of Maximum Probationary Period for New Parent or Caregiver, or for Personal Medical Reasons. (From Section 5.5 of the *Faculty Tenure Policy*.)

Upon the written request of a probationary faculty member, the maximum period of that faculty member's probationary service will be extended by one year at a time for each request:

- (a) On the occasion of the birth of the faculty member's child or placement of an adoptive/foster child with the faculty member. Such a request for extension will be granted automatically if the faculty member notifies the unit head, dean, and senior vice president for academic affairs and provost in writing that the faculty member is eligible for an extension under subsection 5.5 because of the birth or adoption/foster placement; or

(b) If the faculty member is a major caregiver for a family member with an extended serious illness, injury, or debilitating condition and the senior vice president for academic affairs and provost determines that the circumstances have had or are likely to have a substantial negative impact on the faculty member's ability to work over an extended period of time;

(c) If the faculty member has an extended serious illness, injury, or debilitating condition, and the senior vice president for academic affairs and provost determines that the circumstances have had or are likely to have a substantial negative impact on the faculty member's ability to work over an extended period of time. If the faculty member's illness, injury, or debilitating condition reduces the faculty member's ability to work to less than two-thirds time during the faculty member's contract year [i.e., the academic year or twelve months], the probationary period is automatically extended by one year in accordance with subsection 5.3.

"Family member" means a faculty member's spouse or domestic partner, child, or other relative. "Child" includes a biological child, an adopted or foster child, and the child of a spouse or domestic partner.

The probationary period may be extended for no more than three years total, except that the extension may be for no more than one year total for (1) an instructor with a probationary appointment under subsection 6.22 or (2) an associate professor or professor with a three-year probationary appointment under subsection 6.21.

The notification of birth or adoption/foster placement for provision (a) and the request for extension for provisions (b) and (c) in this subsection 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.

A request for an extension under provision (b) or (c) will not be denied without first providing the faculty member making the request with an opportunity to discuss the request in a meeting with an administrator designated by the senior vice president for academic affairs and provost. A claim that a request for an extension under provision (b) or (c) was improperly denied may be considered in any subsequent review by the Senate Judicial Committee of a termination under subsection 7.7.