

Guidelines for Departmental Statements Required by
Section 7.12 of Regents Policy on *Faculty Tenure*

School of Dentistry
Department of Restorative Sciences
(Approved by Departmental Vote 06/2008)
(Approved by the Senior Vice President for Academic Affairs and Provost December 2008)

This document represents the guidelines for promotion and tenure in the Department of Restorative Sciences within the University of Minnesota School of Dentistry, as required in the Regents Policy on *Faculty Tenure*.

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I. Introduction

This document describes the standards and procedures which will be used to evaluate candidates both for appointment to the faculty of the Department of Restorative Sciences and also for continuation, promotion, and tenure. In addition, it describes the indices and standards to be used to evaluate whether candidates meet the general criteria for tenure in Section 7.11 and for promotion to professor in Section 9.2 of the Regents Policy on *Faculty Tenure*. For a complete perspective, the reader is advised to review this policy in its entirety.

The primary measure of excellence of an educational institution is the quality of its faculty. Therefore, the degree of foresight and wisdom employed in making faculty appointments, promotions and the granting of tenure will be the basis upon which a school achieves distinction.

Within the School of Dentistry, the ultimate responsibility for recommending faculty members for appointment, promotion or indefinite tenure rests with the Dean. To discharge responsibility, the Dean should have the counsel of the department chair and faculty of the School. It is the responsibility of the faculty to participate in this process to identify and reward scholars who demonstrate a commitment to the advancement and communication of knowledge and who show promise of pursuing productive academic careers.

In addition, for specific procedures on the process of tenure and promotion to associate professor, and promotion to the rank of professor, refer to the document *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure –Track and Tenured Faculty*<https://policy.umn.edu/hr/tenure>

II. Mission Statement

The specific missions of the School of Dentistry and the Department of Restorative Sciences are consistent with the objectives of a land grant University and include teaching, research and scholarly activities and discipline-related professional service as defined in Section 7.11 of the Regents Policy on *Faculty Tenure* and this departmental document. It is a major goal of the School of Dentistry and the Department of Restorative Sciences to establish and maintain itself as an academic center of national and international excellence. The objectives the Department faculty set to address his/her goals and mission parallel those of the School and include:

- A. Educate dentists and dental specialists who will provide the highest standard of care.
- B. Provide a program of training and instruction for educators and researchers who will provide future leadership in the academic, professional and corporate communities.
- C. Develop new knowledge and understanding in both basic and applied dental and socio-behavioral sciences.
- D. Serve patients by providing optimal care including preventive care, improved modes of health care delivery, patient counseling and education, and the best possible diagnostic and treatment services, particularly for those with unusual or difficult problems.
- E. Serve the public by providing outreach programs of care, prevention and health education for special groups, and consultative and educational programs for the public, health practitioners, and agencies in Minnesota, the United States, and the international community.

- F.** Foster, promote, and participate in interdisciplinary teaching, research and service within the health care, corporate and University communities.

III. Annual Appraisals of Probationary Faculty

The primary criteria for the continuation of probationary faculty is the satisfactory progress towards meeting the standards of promotion. All of the criteria and guidelines used by the Department for annual continuation reviews are contained in this document (Department of Restorative Sciences 7.12 Statement).

A. Tenure Code

The process of reviewing a probationary faculty member's progress is continuous. It is intended to have an encouraging and nurturing function, although it is by necessity judgmental. Especially in the early years of the probationary period, the annual tenure review is intended to point out to the probationary faculty member's strengths and weaknesses, so that the strengths can be built upon and the weaknesses remedied. Progress of probationary faculty will be evaluated relative to statements for scholarship, teaching, and service defined in sections 7.11 and 7.12 of the Regents Policy on *Faculty Tenure* (Appendix I, attached).

B. Department Procedures

Procedures are adopted in accordance with sections 7.4, 7.61, and 16.3 of the *Regulations* and are consistent with *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure –Track and Tenured Faculty*, <https://policy.umn.edu/hr/tenure>

- i. *[required University of Minnesota statement]* Annual review process – Tenured faculty will meet annually to review and discuss each probationary faculty member's performance relative to the 7.12 Statement. The annual review of probationary faculty will be recorded on the President's Form 12 and will reflect the faculty member's performance relative to the 7.12 Statement. If a faculty member has stopped the tenure clock, this must be noted on the President's Form 12 during the annual review. The Academic Unit head (Department chair) will meet annually with each probationary faculty member to review his/her completed Form 12. The Academic Unit head (Department chair) and faculty member will sign the completed Form 12. The Form 12 is forwarded to the dean for review, comment, and signoff. The Form 12 is forwarded to the senior vice president for health sciences for review, comment, and signoff. The signed Form 12 will be kept in the probationary faculty member's personnel file.
- ii. *[Department of Restorative Sciences statement]* Review process – Probationary faculty are reviewed annually by the tenured faculty of the Department. In preparation for this review, the probationary faculty member will provide materials that document his/her progress towards achieving tenure. The Department Chair will assemble the materials into a Tenure File for the probationary faculty member. The file will be distributed to the tenured faculty in the department prior to the annual meeting. The tenured faculty will critically review the progress of the probationary faculty at the Department's annual tenured faculty meeting. A formal ballot for consideration of the probationary faculty member for tenure or for termination of the appointment will not be taken until the completion of the third year on tenure-track. Outcomes of the annual review will be reported on the Appraisals of Probationary Faculty Form 12. After review and approval by the Department's tenured faculty, the Department Chair will candidly discuss with the probationary faculty member his/her progress toward achieving tenure and any recommendations made by tenured faculty. A copy of the annual Appraisal of Probationary Faculty Form 12 will be given to the probationary faculty member.

The Department Chair will place the Appraisal of Probationary Faculty report and a written summary of any additional matters discussed in faculty member's permanent file. The summary will indicate the date and time of the meeting.

- iii. Required materials – The Department Chair will assemble the required materials into a Tenure File for the probationary faculty member. This file, which contains only materials relative to tenure, will become part of the probationary faculty's permanent file. The Tenure File will be available to Department's tenured faculty and the probationary faculty member upon request.

The Department Chair will request from the probationary faculty:

- a. A current Curriculum Vitae and annual activity report
- b. Summary of teaching assignments for the year under review including student and peer evaluations
- c. Summary of scholarly activity for the year under review including copies of published manuscripts, published abstracts, and title and abstract pages of submitted or funded grant applications.
- d. Summary of scholarly presentations including abstracts and evaluations of presentations where appropriate
- e. Summary of discipline-related service activity
- f. Summary of supplementary criteria such as participation in the governance of the Department, School of Dentistry, AHC, University, or professional organizations
- g. Response to any previous recommendations made by the Department's tenured faculty including supporting documentation
- h. Any other relevant material relating to the satisfaction of the requirements for tenure. This may include evaluations of the probationary faculty member's teaching, research or scholarly contributions by persons inside and outside of the University
- i. The Department Chair will add copies of the Appraisal of Probationary Faculty Form 12s for previous years to the file

If there is not sufficient evidence of satisfactory progress and it appears unlikely that the candidate will reach the standards for promotion/tenure by the end of the probationary period, the faculty may vote to discontinue the candidate.

- iv. Joint appointments – probationary faculty members who have appointments in two or more units/departments will be reviewed following the procedures used for probationary faculty members whose appointment is entirely in the Department. It is expected that probationary faculty members with joint appointments will be also be reviewed annually by the other units/departments in which they hold appointments. The probationary faculty member and the chairpersons of each department that the probationary faculty member has an appointment in will meet within the first 6 months of the beginning of the joint appointment to determine which 7.12 Statement that faculty member will be expected to meet.

These annual reviews will be independent of the Department's review unless all involved units/departments: 1) agree to hold a combined annual review of the probationary faculty member, 2) establish the procedures for the reviews, 3) set the criteria for achieving tenure and promotion, and 4) inform the probationary

faculty member in writing of the review process and any modifications to the unit/department 7.12 Statements.

If the annual reviews are carried out independently, the outcomes from other unit/department annual reviews will not be considered in this Department's review; however, materials from interdisciplinary work may be included in the probationary faculty member's Tenure File and they will be considered in the Department's review. A probationary faculty member with joint appointments is expected to meet all of the criteria for tenure and promotion.

Extending the Probationary Period

Procedures are adopted in accordance with Sections 5.5 of the Regents Policy on *Faculty Tenure* (Appendix II, attached). When considering the record of probationary faculty members who have stopped the tenure clock, criteria for promotion and tenure are no different than the criteria for those who do not have an extension to the tenure clock. That is, a record of six years post-hiring with a one-year stopping of the clock must be considered the same way that one considers a record of five years post-hiring with no stopping of the clock.

IV. Conferral of Indefinite Tenure

The general criteria for awarding indefinite tenure are found in the Regents Policy on *Faculty Tenure*, Section 7.11. Probationary faculty should carefully read and understand this document, particularly Sections 5, 6, and 7. Following Section 5.1 General Rule of the Regents Policy on *Faculty Tenure* the School has set the maximum period of probationary service of a faculty member at six academic years, whether consecutive or not. At the end of this six-year period, the probationary faculty member must either be given a regular appointment with indefinite tenure or a one-year terminal appointment. Because of the time required for processing the applications for tenure, the actual decision to award indefinite tenure is made during the sixth year. Granting of indefinite tenure may be made prior to the expiration of the maximum period of probationary service.

The basis for awarding indefinite tenure, as defined in Section 7.11 of the Regents Policy on *Faculty Tenure* (Appendix I, attached), is the determination that the probationary faculty member possesses intellectual distinction and academic integrity and 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. Primary criteria for demonstrating this potential are effectiveness in teaching and distinction in research. Discipline-related professional services are an integral part of the mission of the School of Dentistry and enhance both its teaching and research functions. In some instances, outstanding discipline-related service will be considered as part of the basis for awarding indefinite tenure. The relative importance of the criteria may vary for each faculty member within different departments of the School of Dentistry; however, each of the criteria must be considered in every decision.

A. Teaching

Teaching includes group and individual instruction in classrooms, clinics and laboratories with pre-doctoral, postgraduate and/or graduate students. Consideration is given for unique aspects of teaching such as team teaching, interdisciplinary teaching, service learning, publicly engaged teaching, etc. Tenure is reserved for faculty members who demonstrate effectiveness in teaching.

i. Effective teaching

Effectiveness in teaching will be reviewed by (1) peer evaluations (which may include classroom visits and review of technical competence, notes, syllabi, handouts, examinations and other learning/teaching aids); (2) evidence that the individual attempts to improve teaching skills and performance when appropriate; and (3) student evaluations (required for every candidate and should be conducted on at least an annual basis). Student evaluations will be reviewed in conjunction with other data, so as to avoid his/her use merely as indicators of popularity. Effectiveness is defined by:

- a.** Content – Information presented should be current and accurate, as determined by peers and the best scientific information available. It should be pertinent to the discipline and complete so as to conform to the objectives of the overall curriculum.
- b.** Organization – Information should be presented in a logical sequence that is understandable to the student. The actual teaching methods are at the discretion of the faculty member. Multidisciplinary subject matter should be effectively coordinated.
- c.** Examinations – Examinations should measure student competency and be graded in a timely manner.
- d.** Communication Skills – The ability to successfully convey information depends on verbal and written communication skills. These include, but are not limited to, proper and comprehensible use of language, enthusiasm and the pace of presentations.
- e.** Curriculum Development – This is a very positive endeavor for a candidate for new course development and/or participation in overall curriculum development. The candidate's role in these endeavors must be delineated.

ii. Documentation of teaching effectiveness

Evaluation of a candidate's achievement of the aforementioned standards will be based on a review of evidence provided during the candidate's probationary period. Each faculty member will be responsible for documentation of teaching effectiveness:

- a.** A narrative with a description of teaching accomplishments.
- b.** A spreadsheet or table representing teaching responsibilities. This should include detailed data on numbers of lectures per semester, year taught, title and level, number of students, format including lecture, clinic, lab, discussion, and seminar, the level of participation, including course direction and numbers of lectures.
- c.** Student evaluations and comments. Comments will be used to evaluate the content and organization of the material presented by the candidate and the communication skills of the candidate from the student's perspective.
- d.** Peer evaluations. This should include classroom visits and review of technical competence, syllabi, handouts, examinations and other teaching aids.

- e. Advising. This should include a list of advisees, if any, indicating clearly what role was played, to what end for the advisee (e.g. Masters, Ph.D., resident research, predoctoral and/or undergraduate research), and a list of significant accomplishments by advisees.
- f. Additional support. This may include: teaching or advising awards, copies of teaching materials developed, or self-evaluation of teaching and advising effectiveness.

B. Research/Scholarship/Creative Work

Faculty members are expected to develop and demonstrate their ability as investigators in ongoing projects (e.g. clinical, laboratory, behavioral or educational investigations) or other creative work resulting in innovative products, practices, and ideas of significance and value to society. The research and scholarly accomplishments of each probationary faculty member should be original and form a cohesive body of work. Accomplishments will be reviewed annually to assess progress towards fulfilling the requirements for tenure. Distinction in research and scholarly productivity must be apparent.

The research and scholarly efforts of a candidate will be assessed by evaluation of the publications resulting from the research work. Publication of research results in recognized refereed journals provides clear evidence of scholarly activity. While each faculty member will be expected to contribute to the literature in an ongoing manner, quality rather than quantity of publications will take precedence in promotion and/or tenure decisions. Widely used textbook chapters, review articles and instructional materials are examples of scholarly activity that may be evidence of national and international recognition of the author's expertise in a field and will be given appropriate consideration when they are part, but not the total, of an individual's scholarly productivity. Similarly, case reports are complementary to an individual's scholarly activities but may not comprise the major extent of his/her scholarly endeavors.

The candidate should show evidence of having mastered his/her discipline and the ability to carry out independent inquiry. Evidence of research ability should include publications in prestigious peer-reviewed journals relevant to the development or application of his/her discipline. The School of Dentistry values collaborative research among its divisions and across academic units within the Academic Health Center and the University at large.

Given the broad and varied expertise within the department, letters from external reviewers, the department chair, and department faculty will be considered when judging the quality of the journals most relevant to a candidate's area of expertise. Additional evidence includes contributions toward the development of a funded research program, including competitively awarded grants. In reviewing an individual's scholarly activity, there should be evidence of sustained performance.

Probationary faculty members are to average a minimum of two (2) days per week on scholarly activities. This time is to be protected by the department chair.

Evidence to document research/scholarly/creative activities will include:

- i. A research/scholarly activity narrative with a brief description of accomplishments.

- ii. A list of publications. The list should include publications of research results in nationally and internationally recognized refereed journals. This list should also include books, book chapters, monographs, review articles, case reports, and instructional materials. In multi-authored articles the contribution of the candidate should be specifically described.
- iii. A list of grant applications. The list should include all grant applications submitted by the candidate, an abstract describing the application, the granting agency (internal, external, NIH, NIDCR, NSF, industry, specialty organizations, etc.), the candidate's role (PI, Investigator, etc.), and outcome of submission. Candidates must provide evidence of continual efforts to obtain funding for his/her research endeavors.
- iv. A list of invited presentations. Invited presentations provide evidence of national and international recognition of expertise in a field. The list should include the title, sponsoring agency, length, number attending, and date. If evaluations are available, they should be included. Invited presentations to educational or scientific institutions and national or international scholarly meetings will be given appropriate consideration when they are part, but not the total, of an individual's scholarly productivity.
- v. Intellectual property. Often faculty research leads to technology transfer information, patents, intellectual property, etc. as part of the scholarly production. Candidates should provide descriptions of any intellectual property that they developed or helped to develop. The description should state if the intellectual property resulted in a product or license agreement. In multi-inventor properties, the contribution of the candidate should be specifically described. Intellectual property will be given appropriate consideration when part, but not the total, of an individual's scholarly productivity. Technology that results in license agreements will weigh heavily in the review; however, it is not required.
- vi. External and internal evaluations. Letters critically reviewing the probationary faculty member's scholarly works are required.
 - a. Criteria for external evaluation letters:
 - i) Letters are to come from distinguished faculty members at a rank higher than the faculty member. Letters from highly regarded non-academics may be considered.
 - ii) Letters are to be from individuals that do not have a personal relationship with the probationary faculty member. These relationships include: advisor, mentor, co-author, collaborator, or past co-worker. The reviewer's professional standing and relationship to the probationary faculty member, if any, must be provided.
 - b. Criteria for internal evaluation letters: criteria for the internal evaluation letters are similar to those for the external letters except that it is expected that there will be some personal relationship with the candidate. This relationship should be described.

C. Service

Service is considered a valuable component to the life of the School, AHC University, community, and profession. Faculty may be called upon to provide professional service as part of his/her role in fulfilling the mission of the Department. This service may be in addition to his/her clinical teaching responsibilities and paramount to maintaining a sound teaching and research program. Faculty members are expected to engage in service activities; however, only modest institutional service is expected of probationary faculty.

Probationary faculty members being considered for tenure must provide documentation of his/her service. Service alone will not be a basis for awarding tenure. Service may be discipline-related patient service or professional and/or community based.

Documentation of service activities:

- i. A service narrative with a brief description of accomplishments.
- ii. Discipline-related patient service. Outstanding discipline-related patient service will be recognized as an important contribution in promotion and tenure decisions. Outstanding discipline-related service will be peer evaluated for its impact in raising the quality and standards of the profession. Documentation will include appraisals solicited from nationally recognized clinicians assessing the skills and the impact of the candidate's work in patient treatment. Selection of the reviews will follow the same criteria used for the external reviews of scholarly work (Section IV.B.vi).
- iii. A list of professional/community base service. Service activities considered in promotion and tenure decisions are editorships, manuscript reviewer, grant reviewer, consultant, active participation in the governance of the School of Dentistry, the AHC, and the University, and active participation in professional, state and federal agencies and community health care projects. Written evaluations of the quality of the candidate's service from the appropriate reviewers will be taken into consideration.

D. Stopping the Tenure Clock

Procedures are adopted in accordance with Sections 5.5 of the Regents Policy on *Faculty Tenure* (Appendix II, attached). When considering the record of probationary faculty members who have stopped the tenure clock, criteria for promotion and tenure are no different than the criteria for those who do not have an extension to the tenure clock. .

E. Mentoring of Junior Faculty

The Department Chair assigns at least one senior faculty mentor to each probationary faculty member. The mentor(s) must match the probationary faculty member's scholarly interests. A mentor does not have to reside in the probationary faculty member's department or in the School of Dentistry. The role of the mentor is to meet with the probationary faculty member frequently, to promote career development, to monitor his/her progress, and to help the faculty member with tasks such as grant writing, manuscript submission, management, and teaching preparation.

Each year, the probationary faculty member, in consultation with his/her mentor(s), prepares a written summary of his/her progress towards promotion and tenure as defined in Section III.A.iii: Required materials. The probationary faculty member's progress is reviewed annually following the process described in Section III.A.ii: Review process. Outcomes of this meeting

are reviewed candidly with the probationary faculty member by the Department Chair. At the discretion of the probationary faculty member, the mentor(s) may attend this meeting or be consulted by the probationary faculty member within two weeks following the meeting.

V. Promotion of Regular Faculty

A. Assistant Professor (from non-tenure track position)

In the SOD, these are entry-level appointments (i.e., School of Dentistry does not have faculty promotions into the assistant professor rank).

B. Associate Professor

Promotion to Associate Professor is reserved for individuals who have demonstrated effectiveness in teaching and distinction in research and/or scholarly activities. Granting tenure to a faculty member fulfills the requirements for promotion to associate professor, see Section IV. .

C. Professor

The general criteria for promotion to Professor are found in the Section 9.2 of the Regents Policy on *Faculty Tenure* (Appendix III, attached). Professor is reserved for those individuals who demonstrate superior achievement in his/her field. It is expected that all Associate Professors will aspire to achieve the rank of Professor. The primary emphasis for promotion to the rank of professor is demonstrated scholarly or other creative achievement and teaching effectiveness. Service alone cannot qualify the faculty member for promotion.

It is expected, but not required, that a faculty member will seek promotion to the rank of professor within seven (7) years after being promoted to the rank of associate professor with tenure. Not being promoted to the rank of professor will not in its self result in - post-tenure review, nor will it affect the faculty member's current rank of tenured associate professor.

In addition to documentation that shows sustained achievement of all the criteria required for tenure (Section IV), the following criteria must be met for promotion to the rank of Professor:

- i.** Growth in teaching skills and integration of teaching and research activities.
- ii.** National/international distinction in research and/or scholarly activity, including funded research.
- iii.** Discipline-related patient service (where appropriate) must be clearly outstanding, nationally recognized, demonstrably effective, and offer skills not usually available in the local community of clinicians (see Section IV.C.1). The quality of the discipline-related patient service will be assessed by solicitation of written evaluations from nationally recognized clinicians.
- iv.** Professional/community service activities are expected of all candidates (see Section IV.C.2.). In contrast to lower ranks, candidates for promotion to Professor

are expected to actively participate in governance activities of the Department, School and/or University. The quality of service in governance activities will be assessed by solicitation of written evaluations from department and committee chairs.

VI. Post-Tenure Review

The purpose of the post-tenure review process is to affirm and maintain a faculty member's viability through review and recognition of his/her contributions by peers and administrators. The secondary purpose is to improve, if necessary, the performance of each tenured faculty member in the areas of teaching, research and service. The review process has two phases: 1) the regular annual review of the tenured faculty, and 2) a second review that occurs when the regular annual review results in a determination that the faculty member's performance does not meet the minimum goals and expectations set by the Department.

A. Policies Governing Post-Tenure Review

The general criteria that serve as the basis for post-tenure review are cited in the Regents Policy on *Faculty Tenure*, sections 7a.1, 7a.2 and 7a.3.

B. General Criteria

Expectations for tenured faculty in teaching, research/scholarship/creative activity, and service parallel those used in awarding a faculty member his/her rank; however, flexibility is provided to take into account the different stages of professional development and to allow a faculty member to contribute more heavily to one mission of the School. Tenured faculty members must meet the goals and expectations for faculty in the School of Dentistry (or do separate departments have different goals and expectations?). These goals and expectations are:

The review process has two phases: 1) the regular annual review of the tenured faculty, and 2) a second review that occurs when the regular review results in a determination that the faculty member's performance does not meet the minimum goals and expectations set by the Department.

C. Process of Annual Review (Phase I)

Tenured faculty members in the Department of Restorative Sciences are annually reviewed by the Department Chair for accomplishments in the areas of teaching, research/scholarship/creative activity and service. A faculty member who does not meet the minimum expectations for performance will receive a letter defining what is expected of the faculty member during the next year and stating that the faculty member is at risk for a review by the Department's post-tenure review committee during the following year.

D. Determination of Below-Standard Performance (Phase II)

If the faculty member is classified by the department chair as failing to meet the minimum standards for two consecutive years, the Chair will hold an election for the Faculty Review Committee that will consist of tenured faculty in the department holding appointments at the rank of the faculty member under review or higher. If the Review Committee finds the faculty member's performance to be substantially below the goals and expectations of the department, the Chair and the Review Committee will send a letter to the faculty member stating his/her findings and specifying the deficiencies that the faculty member should address as well as the time period for correcting the deficiencies (at least one year from the date of the letter. If at the end of this time period, the Chair and the Review Committee determine that the faculty member has not met the goals and expectations, the faculty member's performance will be determined to be below standard. A letter with supporting documentation will be sent to the dean requesting a special review (Phase II). A copy of the letter will also be sent to the faculty member under review.

VII. Process for updating the 7.12 Statement

The 7.12 Statement will be reviewed by the Chair of the department or his/her designee(s) at least once every 5 years. Modifications of the 7.12 Statement will require approval by the majority of regular (tenured and tenure-track) faculty members of the department.

VIII. Procedures

The School of Dentistry issues annually to each department, for distribution and information to faculty members, a set of instructions, memoranda, and other documents, giving detailed information on the procedures to be followed in the preparation and consideration of each proposal for tenure and/or promotion in rank.

The procedures used by the department of Restorative Sciences comply with the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenure Faculty*, as provided by Sections 16.3, 7.4, and 7.61 of the Regents Policy on *Faculty Tenure*

1. Continuation of Appointment for Probationary Faculty

Each summer term, probationary faculty submit to the department chair a report on the education, research and service activities and accomplishments he/she was engaged in or completed during the previous academic year. The tenured department faculty meet to review and discuss the report relative to the department 7.12 Statement under which the probationary faculty was hired. The reviewing faculty of the department cast a secret ballot on whether the probationary faculty member has made satisfactory progress toward tenure and whether the faculty member's appointment should be continued. The department chair prepares a summary of the discussion and records it on the Form 12 document, along with the decision on continuing the probationary faculty member's appointment. The department chair reviews the completed Form 12 document, and any other information that pertains to the review, with the probationary faculty member. The Form 12 is signed by the probationary faculty member and the chair and then forwarded to the dean of the school for his/her signature and submission to the Senior Vice President for Health Sciences. A copy of the Form 12 document is held in the probationary faculty member's file in the department and in the dean's office.

2. Initiation of Recommendations for Promotion and Tenure

Recommendations for promotion and/or tenure may be initiated by a faculty member himself/herself or by any tenured faculty member of the department. It is strongly recommended that a faculty member who believes he/she should be considered for tenure and/or promotion discuss these possibilities with his/her department chair and obtain, if at all possible, the support of the chair for consideration. A faculty member may also request the department chair to remove his/her name prior to consideration. Tenured faculty members of the department, at the rank at or above that for which the faculty member is being considered, meet and review the dossier prepared by the faculty member relative to the department 7.12 statement the probationary faculty was hired under. The reviewing faculty cast a secret ballot separately on each decision – promotion first and then tenure.

A favorable vote of a majority of those eligible to vote is required to forward the dossier with a recommendation of approval. A letter to the dean is added to the dossier from the department chair that summarizes the findings, discussions, and conclusions of the reviewing faculty, the vote record, and explanation of any non-positive vote. The dossier is then submitted to the school's Promotion and Tenure Committee. Members of that committee who are at or above the rank being considered for the faculty member review and discuss the dossier relative to the department's 7.12 Statement. A secret ballot is cast separately on each decision – promotion first and then tenure. The committee chair summarizes the members' discussion and reports the vote(s), in a letter to the dean. The dean reviews the dossier for completeness and prepares a letter to the Senior Vice President for Academic Affairs and Provost supporting or not supporting the recommendations of the department and the Promotion and Tenure Committee.

Appendix I

Regents Policy on *Faculty Tenure* Section 7.11

7.11 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 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.

(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 7.12

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 of its probationary faculty members with a copy of the Departmental Statement at the beginning of the probationary service.

(6) "Departmental" refers to an academic department or its equivalent, such as division, institute, or unit.

Appendix II

Regents Policy on *Faculty Tenure*

Section 5.5

Extending the Probationary Period

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 a time 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 twice 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.

- (2) The term "family member" is meant to include a spouse or domestic partner, an adopted or foster child, or other relative.

Appendix III

Regents Policy on *Faculty Tenure* Section 9.2

9.2 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 service⁹) 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 candidates 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 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.

See the definitions of "scholarly research," "other creative work," "teaching," and "service" in footnote 2, subsection 7.11. A greater contribution in the area of institutional service is expected of candidates for the rank of professor than was expected for the award of tenure.