

Revision Approved by Faculty, 2.12.07

Approved by the Senior Vice President for Academic Affairs and Provost, 3.30.08

**GUIDELINES FOR DEPARTMENT OF FAMILY SOCIAL SCIENCE
AS REQUIRED BY SECTION 7.12 OF REGENTS POLICY ON FACULTY
TENURE**

I. Introductory Material

A. Overview: This document describes the indices and standards that will be used to evaluate whether candidates meet the criteria in Sections 7.11 and 9.2 of the Regents Policy on *Faculty Tenure*. After introductory material on the College and Department's missions and values, the document contains policies for awarding indefinite tenure, for promotion to Associate Professor and Professor, procedures for annual reviews of probationary faculty, the application process for tenure and promotion, and procedures for post tenure review. Footnotes are included to explain the rationale and intent of the innovative parts of this document.

B. College Statements of Mission and Values

College Mission Statement

“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 physical, psychological, and social development of children, youth, and adults across the lifespan in families, organizations, and communities.”

College Values Statement to Guide Unit 7.12 Statements

“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 publicly engaged work. However, faculty at our land grant university are expected to contribute to the public good through all of their work.”

C. Family Social Science Statement of Mission, Vision, and Values

Our *mission* is to enhance the well-being of diverse families in a changing world through teaching, research, and outreach.

Our *vision* is to be the international leader in undergraduate, graduate, and extension education; in discovery and application of knowledge; and in innovative engagement with communities.

Our *core values* are collaboration, excellence, diversity, inclusiveness, innovation, and social relevance.

II. Policy on Awarding Indefinite Tenure

This section begins with the Department’s new framework for understanding faculty work. The next section contains the evaluation criteria for awarding tenure, beginning with the University’s 7.11 statement, followed by the Department’s specification of the evaluation criteria in the 7.11 statement and forms of documentation for meeting the evaluation criteria.

A. Framework for Understanding Faculty Work¹

¹ In this document, we put high quality faculty work that contributes in the public arena on a par with traditional forms of disciplinary scholarship as the basis for awarding tenure. In the traditional typology of faculty work—teaching, research, and service—teaching and research are seen as core faculty contributions that lend themselves to high standards and rigorous evaluation, while service is framed as worthy volunteer activity that may round out a tenure portfolio but cannot serve as a basis for awarding a life time academic position. Thus work that contributes to the public good becomes relegated to service and junior faculty are advised to limit this part of their work during their pre-tenure years. This document transcends this conceptual bind with a new typology that integrates teaching, research, and service across disciplinary work, outreach work, and

Faculty work can be categorized into disciplinary work, outreach work, and engagement work, each of which involves teaching, research, and service, and each of which can serve as the basis for tenure when meeting the evaluation criteria described in Section II. B. of this document.

Disciplinary work is the faculty work of teaching and advising students within the academy, service to the profession and the academic community, theory building, and basic and applied research that contributes to knowledge about families.

Outreach work is research, teaching, and service that involves faculty with members of the public and with community professionals . Outreach research responds to concerns of stakeholders outside of academia and feeds results back to these stakeholders and other groups. Outreach teaching responds to the educational needs of families or other stakeholders outside of academia and may occur off-campus in non-credit workshops or other teaching venues such as distance education. Outreach service involves faculty bringing their expertise to families or other stakeholders in forms such as media work, speaking and consulting to community organizations, board leadership positions, and testifying at legislative hearings.

Engagement work combines research, teaching, and service in projects that involve families or other community stakeholders as co-creators and collaborators, generally with the goal of developing useful knowledge for innovations in community practices, public policies, or social or economic change. Engagement work may involve a combination of activities included in disciplinary work and outreach work, plus other activities, but adds the dimension of the “cycle of scholarship” in which research, teaching, and service complement and mutually inform one another in a planful way.²

B. Evaluation Criteria for Tenure

Section 7.11 from the Regents Policy on *Faculty Tenure*

engagement work. It also articulates standards of excellence that apply with equal weight across these types of faculty work.

² This document does not mandate that any faculty member engage in outreach and engagement work. A faculty member could receive tenure based on teaching, research, and service exclusively in the disciplinary domain. Indeed some faculty are not suited to work in public arenas, or their work may not lend itself readily to outreach and engagement work. But for faculty whose job descriptions emphasize public engagement or whose scholarly interests and motivations align with this kind of work, this tenure document grants them acknowledgement and rewards consistent with the quality of their accomplishments. In sum, there is no value judgment that any of these areas of faculty work is better than another, only that each is worthy of consideration for tenure and promotion when meeting evaluation criteria for excellence.

Section 7.11 General Criteria from the Regents Policy on Faculty Tenure contains the following general criteria for awarding tenure as follows.

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.

Department Criteria

In keeping with the 7.11 statement and the mission and values of the College and the Department, the Department of Family Social Science above all seeks intellectual distinction and academic integrity in its faculty members. The Department applies the following evaluation criteria in tenure decisions³. These criteria apply across all three types of faculty work--disciplinary, outreach, and engagement.⁴

- Effectiveness in teaching
- Professional distinction in research
- Record of service
- Strong promise for achieving the rank of full professor
- National recognition for the candidate's work

C. Documentation of Faculty Work

In writing their tenure materials, candidates will specify the kind of work they have conducted and provide the documentation pertinent to that work. The first set of sources of documentation below (Section II.C.1.) applies to all three kinds of scholarly work. The second set (in Section II.C.2) subsumes the first and adds additional documentation for outreach and engagement work. The third set (Section II.C.3.)

³ These are the essential general criteria a candidate must meet in order to earn tenure. Section II.C of this document specifies ways a candidate can demonstrate the meeting of these criteria based on the values and emphases of the Department and the College. Not every candidate must show every form of documentation, but the totality of the candidate's performance and portfolio must demonstrate that these five essential criteria have been met.

⁴ Note that outreach and engagement work as defined here are far more substantial and integral to a faculty member's University role than traditional service activities such as serving on committees, giving public presentations, and sitting on community boards. The University 7.11 statement emphasizes that service alone is not sufficient for awarding tenure. However, outreach work and engagement work as viewed here combine teaching, research and service, and build a systematic body of knowledge while meeting community needs.

subsumes the first two and adds documentation specific to engagement work. The Department acknowledges that outreach and engagement work may blur traditional distinctions between research, teaching, and service. Candidates for tenure may provide unique forms of documentation beyond those listed below. (Section VII of this document provides candidates with guidance on the specific materials to be included in their tenure and promotion portfolio.)

1. Documentation For Disciplinary, Outreach and Engagement Work

Given the 7.11 statement and the research missions of the University, the College, and the Department, faculty are expected to have significant publications that involve peer review. The candidate's publication record will be evaluated by internal and external reviewers on the standards of originality, independence, coherence, and impact.⁵ Multidisciplinary work is valued although not required of faculty, and will be evaluated by the same standards as for all other faculty work. In cases where the faculty member's discipline is not represented in the Family Social Science tenured faculty, or where the faculty member has a joint appointment with another department, special arrangements will be made for insuring that the promotion and tenure committee can fairly evaluate the candidate's work. Candidates for tenure are expected to engage in a modest level of departmental and collegiate service; other kinds of service are valued but not required for probationary faculty. The following forms of documentation cover all three types of faculty work.

a. Academic publications and presentations

- Peer-reviewed articles
- Academic books and chapters
- Edited special issues of journals
- Research and Technical reports

⁵ These are general evaluative standards applied to all types of candidate work. More specific standards may apply to particular work the faculty member chooses to engage in, such as collaborative, multidisciplinary work. Originality can refer to a wide range of distinctive contributions and is not restricted in meaning to working a new area of scholarship. A work could be original because it addresses new issues or old issues in new ways. Originality could be theoretical, empirical, analytic, or methodological. It could involve new syntheses, new applications, or something else that breaks new ground. Independence refers to the demonstrated ability to make one's own significant scholarly contributions. It does not mean solo work or solo publications; in fact, collaboration is highly valued by the Department. However, independence does imply that one takes the lead in at least some of one's work. Coherence refers to the presence of unifying themes and approaches in the candidate's work; it does not imply a focus on only one scholarly topic or method. Impact refers to the influence, already realized or clearly potential, of the candidate's scholarly work on the field and the audiences it is intended to reach; it is not restricted to any one kind of measurement.

- Conference presentations
 - Special invited presentations
 - Other forms of academic publications and presentations
- b. Teaching
- Summary of teaching activities
 - Syllabi, curricula, program plans
 - Evaluations from students/learners/stakeholders
 - Peer evaluations
 - Student advising record
 - Evidence of multicultural perspectives in teaching
 - Participation in programs to improve one's teaching is valued but not required
- c. Service
- Departmental service record
 - Collegiate, Extension, and University service record
 - Record of service to the academic and professional community
 - Record of professional service in local, state, national, or international communities or organizations
- d. Potential for achieving external funding
- e. National and local recognition
- Journal board memberships
 - Honors, awards
 - Leadership positions
 - Other forms of national and local recognition
- f. Articulated plans for systematic scholarly work that is likely to lead to promotion to professor

2. Additional Documentation for Outreach and Engagement Work⁶

In addition the documentation described in section II.C, outreach and engagement work may involve additional forms of documentation, each of which will be evaluated on the criteria of originality, independence, coherence, impact, and collaborative skill.

6

This document distinguishes evaluation criteria from forms of documentation (the products submitted for evaluation). The same evaluation criteria apply with equal force to disciplinary, outreach, and engagement work; in other words, work that involves community partnerships is not held to lower standards than traditional disciplinary activities. This section of the document expands the types of products that faculty can use to document their work.

- Summary of sustained programs, projects, and partnerships, including details about the process and collaborative relationships involved
- Products such as videos, websites, CDROMs, educational manuals, trade books
- Popular media, with information on types of media, populations reached, circulation, influence, citations
- Summary of public influence such as involvement in policy development, policy changes, new laws, or changes in agency practices

3. Additional Documentation for Engagement Work⁷

In addition the documentation described in section II.C.1 and 2, engagement work may involve additional forms of documentation, each of which will be evaluated on the criteria of originality, independence, coherence, impact, and collaborative skills.

- Multiple, complementary products reflecting a cycle of scholarship integrating teaching, research, and service. Example: a refereed journal article, community education materials, and media stories -- all emerging from one collaborative project.
- Summary of involvement of community stakeholders as collaborators and co-creators of projects

III. Extending the Probationary Period

Probationary faculty have the right to extend the probationary period (i.e., stop the tenure clock) in accord with Section 5.5 of “Regents Policy on *Faculty Tenure*.” Faculty who exercise this right will be evaluated according to the numbers of years actually on the tenure track and will not be penalized by additional expectations beyond those for faculty who did not stop the tenure clock.

⁷ Documentation sections 1, 2, and 3 build hierarchically. All three kinds of faculty work would be documented with peer reviewed journal articles. Only outreach and engagement work would be documented with evidence for shifts in organizational practices based on a joint project, or through policy proposals or policy changes. And only engagement work would be documented with project notes and written statements from community stakeholders about the level of co-creation of a project from beginning to end. In all cases, the evaluation criteria for the candidate’s whole portfolio are the same. However, determining whether certain products (such as CD-ROMs and online media) meet these evaluation criteria may require efforts by tenured faculty to determine the standards of quality in unfamiliar areas and to locate peer reviewers who can evaluate these products by the best contemporary standards.

IV. Promotion to Associate Professor

Promotion to Associate Professor is usually associated with a decision concerning tenure. Promotion to this rank follows the same process as for tenure and candidates must meet the same criteria.

V. Promotion to Professor

Achieving the rank of professor is an expectation of faculty recruited by the Department of Family Social Science. The performance expectations exceed those for promotion to associate professor.

In keeping with the University's 9.2 statement of criteria for promotion to professor, faculty candidates for professor must meet these criteria::

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 service [9]. The relative importance of these criteria may vary in different academic units, but each of the criteria must be considered in every decision. Interdisciplinary work, public engagement, international activities and initiatives, attention to questions of diversity, technology transfer, and other special kinds of professional activity by the candidate should be considered when applicable. But the primary emphasis must be on demonstrated scholarly or other creative achievement and on teaching effectiveness, and service alone cannot qualify the candidate for promotion.

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

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

The candidate's reputation will be established through the same procedures for internal and external evaluations as described in Section VII of this document. In addition, department expects the following accomplishments:

- Success in external funding for the candidate's disciplinary, outreach, or engagement work
- Continued effectiveness in teaching (see Section II criteria for tenure), including a successful record of advising graduate students to the completion of their programs
- A strong record of service to the Department and College. Service to the University and to local, state, national, and international communities is also valued by the Department.
- Demonstrated leadership in the academic community, for example, leadership positions in professional organizations and journal editorial board membership.

In writing their promotion materials, candidates will specify the kind of work they have conducted (disciplinary, outreach, engagement) and provide the documentation pertinent to that work. As described in Section II of this document, the evaluation criteria are the same across all three types of faculty work, although the documentation materials may differ. The same evaluation principles and processes for multidisciplinary work also apply to promotion to professor.

VI. Annual Review of Probationary Faculty

In keeping with university policies and procedures, the Department of Family Social Science probationary faculty will be reviewed annually. Tenured faculty will review materials submitted by probationary faculty, meet as a group to discuss probationary faculty progress, and vote by anonymous ballot regarding contract renewal. Results of this evaluation will be summarized by the department head and discussed with probationary faculty. The department will file President's Form 12: Appraisals of Probationary Faculty with CEHD's Human Resources Director, who forwards it to the Dean and the Provost.

1. At the beginning of a probationary, tenure-track appointment, the Department Head will review the terms of employment with the probationary faculty. This review will include the following items of discussion:
 - Making certain that credit for prior service has been granted and appropriately recorded, and that there is a common understanding about the maximum length of the probationary period.
 - Supplying the candidate with copies of the Regents Policy on Faculty Tenure and this Departmental document "Promotion and Tenure: Specific Criteria,

Standards, and Procedures," as required by section 7.12. If the candidate is unsure about the application of the criteria, the discussion should seek to make that as clear as possible.

- Informing the candidate about the procedures used in the department to review teaching, research and service. The candidate must be informed about the annual review process and made familiar with the annual report on Appraisals of Probationary Faculty (President's Form 12), which will be completed. The candidate must also be informed about his or her right to inspect the file and right of access to information.
- It shall be the responsibility of the Department Head, working with the faculty member, the administrator for international programs and other appropriate administrative leaders (e.g., Extension Assistant, Principal Investigator, Team Leader), to ensure that documentation requirements for evaluation are being met for faculty members on international assignments.

The tenured faculty will have access to the files of probationary faculty at least three days prior to the annual review meeting. These files will be maintained in the department office. Tenured faculty have a duty to review annually the progress of each candidate. An annual meeting of the tenured faculty to review progress will be held in mid-October each year. The Department Head will attend this meeting and will designate a faculty member to conduct it.

After the annual review meeting, the Department Head will meet with the candidate to discuss the candidate's progress toward achieving tenure. The Department Head will review data, discuss the sense and/or vote of the tenured faculty meeting regarding the candidate, and outline any other information relied upon during the review process. The Department Head will add the completed Annual Appraisal form to the candidate's file, and include a written summary of matters discussed at this meeting. The candidate signs the President's Form 12.

VII. Procedures for Applying for Tenure and Promotion

The tenure and promotion process of this Department complies with the Procedures for Reviewing Candidates for Promotion and/or Tenure: Tenure-Track and Tenured Faculty as provided in Sections 16.3, 7.4, and 7.61 of the Regents Policy on Faculty Tenure. Questions not answerable by reference to these departmental procedures will be resolved by application of the rules and guidelines listed above.

A tenure decision can be made at any time after the first year, but must be made before the end of the probation period. A candidate does not have a right to an early tenure review and decision. The candidate may request such a review, but the Department will decide whether or not to conduct it. A formal review, however, can be initiated by the Department Head or by vote of the tenured faculty. Where such a decision is made to conduct a tenure review, the process must conform to the regular annual schedule for such reviews.

The Department will conform to the schedule for formal action on tenure decisions as set forth by the Academic Affairs office and the Dean.

1. Candidate's Portfolio

Depending on the kind of faculty work (See Section II) the candidate has done, review materials should include:

- a. Copies of a current curriculum vitae, annual activity reports, and Appraisal of Probationary Faculty forms for the current and previous years.
- b. Personal Statement
 - Professional narrative, defined as an overview of the faculty member's work at the University, including the terms of the original faculty appointment, the type of faculty work done and its history, development, coherence, and contributions -- included within portfolio
 - Philosophy of faculty work statement – included within portfolio
 - Statement of plans for systematic scholarly work – included within portfolio
- c. Review Materials for Disciplinary Work
 - Peer-reviewed articles – documented within curriculum vitae and copies delivered with portfolio
 - Academic books and chapters – documented within curriculum vitae and copies delivered with portfolio
 - Edited special issues of journals – documented within curriculum vitae and copies delivered with portfolio
 - Research and Technical reports – documented within curriculum vitae and copies delivered with portfolio
 - Conference presentations – documented within curriculum vitae
 - Special invited presentations – documented within curriculum vitae
 - Other forms of academic publications and presentations – documented within curriculum vitae
 - Grants record – documented within curriculum vitae and provided as a summary of grant-related activities (project title, role on project, source and amount of funding requested, status, and copy of proposal)
 - Journal editorial board memberships – documented within curriculum vitae
 - Summary of teaching activities – constructed and provided within portfolio
 - Resident faculty should prepare a chart that includes titles of courses taught, class evaluations for each course taught, numbers of students taught for each course, when each course was taught, and teaching venues (face-to-face, distance learning, etc.)
 - Extension faculty should prepare a chart that includes organization of teaching by programmatic areas, types of audiences / students taught, total

numbers of people taught, number of contacts with the same people / groups, multiple effect estimates, and teaching venues (face-to-face, distance learning, etc.)

- Syllabi, curricula, program plans – included within portfolio
- Documentation for how multicultural perspectives are included in teaching
- Evaluations from students/learners/stakeholders – included within portfolio
- Peer evaluations of teaching – included within portfolio (In the context of teaching, *peer* is defined as a University of Minnesota faculty member from within the department or from another department within the University.)
- Student advising record – listing of advisees, students' status in program, years students completed degrees, undergraduate UROPs and capstones, and post docs
- Honors, awards – documented within curriculum vitae
- Leadership positions – documented within curriculum vitae
- Other forms of national and local recognition – documented within curriculum vitae
- Departmental, Collegiate, Extension, and University citizenship record – documented within curriculum vitae
- Record of service to the academic and professional community – documented within curriculum vitae
- Record of professional service in local, state, national, or international communities or organizations – documented within curriculum vitae
- Articulated plans for systematic scholarly work – included within portfolio

d. Additional Review Materials for Outreach and Engagement Work

- Summary of sustained programs, projects, and partnerships – include within portfolio
- Products such as videos, websites, CDROMs, educational manuals, trade books may be included – include within portfolio
- Summary of local and national popular media, with information on types of media, populations reached, circulation, influence, citations – include within portfolio
- Summary of public influence, such as involvement in policy development, policy changes, new laws, or changes in agency practices – include within portfolio

e. Additional Review Materials for Engagement Work

- Summary of multiple, complementary products that demonstrate a cycle of scholarship integrating teaching, research, and service – include within portfolio
- Summary of involvement of community stakeholders as collaborators and co-creators of projects. Evidence should include letters of support from co-creators and collaborators – include within portfolio

f. External Reviews

The file must include evaluations of the candidate's teaching, research, or other scholarly contributions by five leaders in the field outside the University. The department head chooses the final slate of reviewers in consultation with the candidate and the tenured faculty. External reviews must be obtained from individuals with no direct professional or personal interest in the advancement of the candidate's career.

2. Review Procedures for Tenure

- In the Spring before a candidate is to put forward her/his portfolio for review, the Department Head will meet with him/her to outline the process, provide guidance about the development of specific parts of the portfolio, and reiterate that the candidate should provide input regarding external reviewers.
- By late spring or early summer, the candidate should have prepared and organized materials to be forwarded to external reviewers.
- During this same time, the Department Head will consult with faculty regarding the finalization of outside reviewers and contact them to determine their willingness to complete the review in a timely manner.
- The Department Head will forward the candidate's materials to external reviewers with a cover letter outlining the University of Minnesota's tenure and promotion process.

In the fall, the file of each candidate will be made accessible to the tenured faculty and the candidate for his/her review. Eligible faculty (as defined in University Regulations, Faculty Tenure, Preamble) may submit signed statements regarding the candidate to be incorporated in the file. The candidate may supplement his/her file and/or respond or comment on anything contained in it.

- A meeting of the tenured faculty will be held. Each candidate will be reviewed in the following manner:
 - A discussion of the candidate will be conducted in which comments will not be identified by the contributor, but will be noted and summarized by a senior faculty member.
 - A secret, written ballot will be distributed to eligible faculty for vote and will be collected at the end of the meeting. The ballot will set forth the questions to be decided, and the candidate's name.
 - Each candidate will be considered and voted on separately, assuring that only eligible voting faculty (as defined in *Faculty Tenure*, Preamble and the new *Procedures* document).
 - After the meeting, the vote will be tabulated by two of the voting faculty. The tally will include all absentee ballots received from eligible faculty.

unable to attend the meeting. Recommendations for promotion or tenure are based on simple majority of those voting on the question.

- The Department Head will prepare the Department Head's report and will meet with the candidate to inform him/her of the Department's recommendation and the recommendation of the Department Head. The candidate put forward will be given the opportunity to review his/her file prior to it being forwarded to the Dean. The candidate may add a letter commenting on the department recommendation. However, materials that may require faculty evaluation and could change the faculty vote are not timely.
- The Department Head will forward the file to the Dean. The file will contain the following information: the Departmental Report, including the Department Head's recommendation, external evaluation letters, and statements or summarized data presented to the file by faculty or the candidate.

3. Review Procedures for Promotion to Associate Professor

The procedures for promotion to Associate Professor parallel those for consideration for tenure. Candidates must request consideration for promotion, but the Department will decide whether the promotion consideration process should be initiated. The Department Head or the tenured faculty may initiate the process.

4. Review Procedures for Promotion to Professor

The procedures for promotion to Professor parallel those for consideration for tenure. Candidates must request consideration for promotion, but the Department will decide whether the promotion consideration process should be initiated. The Department Head or current full professors may initiate the process.

VIII. Review of Tenured Faculty

The review of tenured faculty will occur annually. A special post tenure review can be invoked under circumstances when a faculty member's performance is substantially below the expectations of the Department according to Section 7a of *Faculty Tenure*.

A. Annual Review of Tenured Faculty

The Department of Family Social Science conducts an annual review (based on the calendar year) of all faculty, including tenure/tenure track and Professional and Administrative faculty. Family Social Science considers the annual review process as the important first step in post-tenure review. The review coincides with and contributes to merit evaluation and provides a full disclosure of scholarship in the previous year.

During the spring semester, faculty members receive information from the department head concerning the annual review process, the review timeline and schedule for individual meetings with the department head to discuss progress, and any specific items that should be highlighted (e.g., contributions to special departmental initiatives). Faculty members develop materials for annual review and submit these materials with current vita to the department head. Once faculty materials are forwarded, the department head reviews materials and meets individually with each faculty member to discuss progress and future plans. After all reviews are complete, the department head prepares a written response to each faculty member summarizing his/her evaluation and suggestions for future plans. In a separate letter, the department head provides information regarding merit raises and compression, if appropriate.

Once the department head has completed the review process, s/he meets with the dean to present and discuss his/her merit/compression decisions. Final approval for merit/compression decisions rests with the dean.

B. Special Post Tenure Review

The department is required to have a special peer review in cases of alleged substandard performance by tenure faculty. The policy and procedures included here were approved by the faculty on February 12, 2008.

Spirit of the Departmental Policy

The special provisions in this policy are intended for outlier cases in which a tenured faculty member is clearly functioning far below what the department needs and expects from its faculty. Except in that extraordinary situation, the present annual faculty review system should continue with no change, with the department head's review based on each faculty member's position description, assignments, interests, and career trajectory.

Goals and Expectations Policy

Section II. of this document describes the department's goals and expectations for tenured associate professors for the post-tenure review process, and Section V describes the goals and expectations for professors

Procedures for Reviews

1. The tenured faculty elects a committee composed of 3 full professors, with staggered terms. The initial three committee members will serve 3, 2, and 1 year terms respectively, with the terms of each member decided by lot. In subsequent elections, all terms will be for three years.
2. The department head will conduct annual post tenure reviews with each faculty member (see Section VII. A. of this document).

3. In the event that the department head believes that a faculty member's performance is substantially below the goals and expectations of the unit, the department head requests a review by the peer faculty review committee. If a member of the committee has been identified as performing substantially below expectations, then the other two members of the committee will conduct the case review.
4. If the peer faculty review committee, after reviewing all relevant documents and following the guidelines and procedures laid out in Section 7a of *Faculty Tenure*., concurs that the faculty member's performance is substantially below the goals and expectations of the unit, the committee joins the department head in writing a letter to the faculty member specifying the deficiencies and setting a time period (usually by the next annual review) during which the faculty member should address the identified problems. Both the department head and the committee chair sign the letter. Both the [department] head and the elected committee should work with the faculty member to improve performance during that time.

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

APPENDIX A

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

Appendix B

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

1. On the occasion of the birth of that faculty member's child or adoptive/foster placement of a child with that faculty member; or
2. When the faculty member is a major caregiver for a family member[2] who has an extended serious illness, injury, or debilitating condition. A faculty member may use this provision no more than two times; or
3. When the faculty member has an extended serious illness, injury, or debilitating condition.

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