

# STANDARDS AND INDICES FOR TENURE, PROMOTION, ANNUAL REVIEW, AND POST TENURE REVIEW OF FACULTY

Department of Fisheries, Wildlife and Conservation Biology College of Food,  
Agricultural and Natural Resource Sciences

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## I. INTRODUCTION

Tenured or tenure-track faculty are employed to fulfill the stated mission of the Department of Fisheries, Wildlife and Conservation Biology in teaching, research, and service. This document sets forth the policies, procedures, and criteria for the following personnel evaluations for tenure-track and tenured faculty:

- A. Annual performance appraisal of progress toward achieving tenure.
- B. Recommendation for awarding indefinite tenure according to Regents Policy on Faculty Tenure (University of Minnesota, hereafter referred to as Faculty Tenure), Section 7.11. General Criteria (See Appendix A.)
- C. Recommendation for promotion to Associate Professor or Professor. (See Section 9.2 of Faculty Tenure: Criteria for Promotion to Professor in Appendix B.)
- D. Annual performance appraisal of tenured faculty and process for initiating post-tenure review according to section 7a.1 and 7a.2 of the Faculty Tenure.

## II. MISSION STATEMENT AND FACULTY EXPECTATIONS

The Department of Fisheries, Wildlife and Conservation Biology's mission is to foster a high quality natural environment by contributing to the management, protection, and sustainable use of fisheries and wildlife resources through teaching, research, and outreach.

To achieve this mission, tenured and tenure-track faculty members will:

- 1) provide high quality courses, programs, and mentoring at the undergraduate, master's degree and doctoral degree levels for students and postdoctoral scholars desiring to broaden their scientific knowledge or to enter the professional disciplines of fisheries, wildlife, or conservation biology; for faculty with formal extension or outreach appointments, this includes high quality programs targeted to diverse public and professional audiences, or relevant communities;
- 2) facilitate, conduct, and disseminate innovative basic and applied research that supports the understanding, management, and conservation of ecosystems, organisms, and natural resources and the people who interact

with them; for faculty with formal curatorial roles, this includes activities related to managing, maintaining, and enhancing collections; for faculty with administrative appointments in research centers, it includes activities that promote the research productivity of faculty, students, and staff within their unit;

3) contribute to shared faculty governance through regular participation in faculty meetings, and by accepting and performing an appropriate share of service assignments to Department, College, or University committees; provide professional service to appropriate agencies and groups involved in conservation and natural resource management, where the unique expertise and capacity of the faculty, students, staff, and facilities can be applied to address the needs of diverse stakeholders.

The relative proportion of effort that should be allocated to each of these activities will vary among individual faculty members according to their official appointment.

In all Department endeavors, faculty members are encouraged and supported to demonstrate inquiry, creativity, and innovation through interdisciplinary and intercultural scholarship and teaching, and a commitment to building a diverse and pluralistic community. Collaboration, collegiality, interaction, and education across a wide range of diverse ethnic and cultural perspectives contribute to the breadth and quality of academic work and represent core values of the University of Minnesota.

All tenured and tenure-track faculty will document their adherence to these expectations by submitting an Annual Report for review by the Department Head and other relevant faculty.

### III. ANNUAL REVIEW OF PROBATIONARY FACULTY

The Department Head will lead an evaluation of the progress of probationary faculty annually relative to Sections 7.11 and 7.12 of Faculty Tenure, as well as this 7.12 statement, for teaching, scholarly achievement, and service. The tenured faculty members will conduct this evaluation of each probationary faculty member and a secret ballot will be taken to determine continuation or termination of the probationary appointment.

For faculty with appointments in non-academic units (such as the Bell Museum and Research and Outreach Centers), a written report from the unit head will be requested for submission prior to the time of the FWCB faculty meeting to evaluate probationary faculty. Alternatively, the unit head may present an oral evaluation of the probationary faculty member at the FWCB faculty meeting. The unit head or other unit members may not participate in the faculty discussion or vote during the meeting unless they are tenured in the Department. No other members of the unit should attend the presentation at the FWCB faculty meeting.

For faculty with split appointments in two or more academic departments whose tenure home is in the FWCB Department, the Head(s) of the other department(s) in which the faculty member has appointment(s) may submit a written or verbal report of evaluation by the faculty of those departments. The other Heads may attend the meeting and participate in the discussion about the faculty member, but may not vote.

For all probationary faculty, a report from the Minnesota Cooperative Fish and Wildlife Research Unit (MCFWRU) Leader will be requested by the Department Head for submission prior to the time of the FWCB faculty meeting to evaluate probationary faculty. MCFWRU Leader or other Unit Scientists may not participate in the faculty discussion or vote.

The Department Head, in consultation with the probationary tenure-track faculty member, will appoint a mentoring committee in the candidate's first year to guide the individual in the planning and review of their Promotion and Tenure documents and process. The mentoring committee should include three tenured faculty members who reflect the breadth of the department and key areas related to the probationary faculty member's areas of scholarship. Committee members may be external to the Department if they have particular expertise (e.g., curatorial, extension, or administration experience) that is relevant to the candidate's position description. The mentoring committee is expected to meet regularly with the candidate and provide constructive guidance, review official tenure documents, provide timely feedback, and support the Department Head in organizing faculty discussion during the annual appraisal of probationary faculty members.

The Department Head, in consultation with the mentoring committee, will provide a list of expectations describing productivity and achievements based on that individual's formal appointment. These guideposts should be clearly articulated in the Appraisal of Probationary Faculty Report (President's Form 12), and should be interpreted as advisory rather than prescriptive. The mentoring committee will aid in interpretation of these expectations.

At the midpoint of the probationary period (typically after three full years of employment) the probationary faculty member, in consultation with the mentoring committee and Department Head, will assemble a dossier that documents the faculty member's professional progress. Documentation will be similar to that required for the promotion and tenure review except evaluation letters will not be required. The dossier will include personal statements of research, teaching, and service; a current CV; and teaching or extension evaluations.

Following the midpoint meeting of tenured faculty, the Department Head, in consultation with the tenured faculty, will prepare an evaluation report covering both the comments of the tenured faculty and the Head's own comments. This document will cover assessment of views on: 1) effectiveness in teaching (including extension and outreach), 2) distinction in research (including curation and administration), 3) contributions to University and professional service, and 4) an evaluation of the

balance of effort the faculty member is spending on items 1-3, including suggestions for future improvement in performance or reallocation of time and effort. The mentoring committee will meet with the probationary faculty member to discuss this report and provide recommendations to the probationary faculty member on where to focus their efforts to successfully obtain tenure.

Following each annual and mid-point evaluation, the Department Head will meet with the probationary faculty member, discuss their progress toward achieving tenure, and report on the meeting of the tenured faculty and their recommendations, if any. The candidate will be shown a copy of the Appraisal of Probationary Faculty Report (Form 12), which contains the major elements to be discussed between the faculty member and the Department Head. The Department Head will place the Report and a written summary of any additional matters discussed in the faculty member's file.

When considering the record of a probationary faculty member who has extended the probationary period, criteria for promotion and tenure are no different than criteria for those who do not have an extension to the tenure clock. That is, a record of 6 years post-hiring with a one-year stopping of the clock must be considered the same way that one considers a record of 5 years post-hiring with no stopping of the clock. This information must be clearly communicated to external evaluators. Details concerning the University policy on the timing of promotion and tenure may be found in Section 5.5 of the Faculty Tenure policy, available at <https://faculty.umn.edu/promotion-tenure/promotion-tenure-review>

#### IV. CONFERRAL OF INDEFINITE TENURE

Criteria for tenure are given in Section 7.11 of the Faculty Tenure policy. The standards and indices listed below will be used to determine whether these criteria have been met.

To be awarded tenure, a faculty member will be expected to demonstrate effectiveness in teaching, a distinguished record of research, and substantive contributions to service. The department recognizes faculty members may have appointments of varying percentages assigned to expectations in effort devoted to teaching, research, and service. Because of this diversity of effort within the department, the evaluation of each faculty member will vary according to their appointment. Section 7.11 of the Faculty Tenure policy specifically recognizes extension and outreach as facets of teaching. In addition, curation and administration of research units are considered by the department to be facets of research.

Individuals with appointments in more than one unit will be given consideration appropriate to the percentage weighting of the appointment. This weighting and protocol for the tenure decision should be clearly defined in writing in the individual's appointment letter and any subsequent revisions to the original appointment. This information should also be clearly articulated to external letter writers.

## A. Effectiveness in Teaching

Teaching includes instruction and advising of undergraduate and graduate students; mentoring of post-doctoral scholars; course, curriculum, and program development; as well as extension and outreach activities for faculty with formal extension or outreach appointments.

Conferral of tenure will require achieving demonstrated effectiveness in teaching following University-wide guidance, "Evaluation of Teaching: Twin Cities, Crookston, Morris, Rochester will guide student and peer evaluation of teaching (available at <https://policy.umn.edu/education/teachingevaluation>).

The effectiveness of teaching should be assessed using all available information, including course information prepared by the faculty member and evaluations by peers, students, or instructional professionals. Primary evidence and documentation should include: a teaching statement describing the candidate's teaching and advising philosophy; student course evaluations; documentation of undergraduate advising activities; summary of supervision of undergraduate research; summaries of successfully completed and currently active graduate advisees and post-doctoral scholars; and summary of service on graduate examination committees as a non-advising faculty member. Awards and special recognition for teaching, and invited presentations or publication of education-based research should also be considered as primary evidence. Secondary evidence may include peer assessment of teaching, evidence of effectiveness and progress in: program and course development, devising and improving learning experiences, planning and perfecting new teaching techniques, or implementing methods for evaluation of teaching efforts and accomplishments. Successful postdoctoral mentoring includes helping scholars to strengthen an area of expertise, providing support for publications, and aiding in professional development. Extension and outreach efforts use communication, coordination, education, training and technology transfer to reach diverse audiences of engaged citizens, professionals, and the general public to help navigate critical issues in natural resources management and conservation. Faculty members with Extension appointments conduct solutions-oriented research and translate scientific findings through extension programming to meet the needs of local, state, regional, national, and/or international stakeholders. Faculty members with formal Outreach appointments should translate scientific findings to the public or specific communities (as identified in the faculty member's position description).

Examples of extension and outreach include: presentation of off-campus credit courses, non-credit courses, workshops, public programs, k-12 programs, continuing education, and distance learning programs; extension publications and websites; the provision of expert information, including consulting and legal testimony; service to technical, professional groups and agencies that results in extending expertise of the university into government or non-governmental organizations, policy, or other functions; presentations to or collaborations with tribal and indigenous groups; and mass media exposure of research, teaching, and extension.

Conferral of tenure for faculty with appointments in Extension or Outreach will require achieving effectiveness in extension or outreach activities. Assessment of effectiveness in extension and outreach will be based on participant evaluations, measurable outcomes of reach and impact, peer review, and relevant publications.

## B. Demonstrated Scholarly Achievement

Research includes the generation and dissemination of new knowledge that is related to the academic discipline of the individual, or related interdisciplinary work, and furthers the mission of the department. To demonstrate scholarly achievement, candidates are expected to develop an active and funded research program involving graduate, undergraduate or postdoctoral students, which results in quality publications. For faculty with curatorial appointments, research also includes activities related to managing, maintaining, and enhancing collections, and for faculty with administrative appointments in research centers, it includes activities that promote the research productivity of faculty, students, and staff within their unit.

Letters from authorities in the candidate's field must assess the candidate's contribution and distinction in research, including contributions to curation and research administration for faculty with those appointments.

Primary evidence of scholarly achievement or distinction in research is publication in high quality, peer-reviewed professional journals, books, and/or book chapters. Impact factors, citation indices, and descriptions of journals and publications may be part of the primary evidence for quality. Primary evidence of scholarly achievement may also include successful acquisition of peer-reviewed grants and invited presentations of research-based papers delivered to scientific audiences. For faculty with curatorial appointments, primary evidence of scholarly achievement in curation would include use or enhancement of managed collections for primary research conducted by the faculty member, supervised students, postdocs, or other scholars. For faculty with research administration duties, primary evidence of achievement in this area would include evidence of leadership in administering and maintaining research funding and programs for the unit they administer, including strategies to encourage scholarly productivity and achievement by faculty, staff and students, and building and maintaining relationships with key internal and external stakeholders in support of a strong research program.

Secondary evidence of scholarly achievement includes non-refereed publications and reports; highly ranked but unsuccessful efforts to obtain competitive grants; and participation on regional, national, tribal, and international research advisory committees. Additional documentation may include evidence of data collection; data archiving for public use; development of software or computer code for public use; interpreting and reporting research results; a list of current research projects; presentations of research-based papers delivered to scientific audiences; activities and communication of co-created regional, tribal, national, and international research;

and editorial responsibilities, honors, or awards where selection is based on recognition of the individual's scholarly achievements. For faculty with curatorial responsibilities, secondary evidence of scholarly achievement may include improvements made to the collections (e.g., new specimens added, identified, or preserved), development of open-access digital databases with georeferenced collection records, and actions that facilitate the use of collections in research (e.g., loaning or exchanging specimens, maintaining permits, or developing manuals related to the collections). For faculty with research administrative responsibilities, secondary evidence of research and scholarly achievement may include overall publication productivity of the research unit, including other faculty, students, and supervised staff.

### C. Contribution in Service

Service includes those endeavors that contribute to the mission of the university or are related to the academic discipline of the individual and further the mission of the department. All tenured and tenure-track faculty are expected to contribute to both university and professional service.

Evidence of service may include work on departmental, college, or university committees. Evidence of professional service may include participation in committees and offices held in professional societies; editorial responsibilities; manuscript and proposal reviews; organization of symposia; membership in honor societies; honors, awards, and citations for service; participation in workshops and staff development offerings; public engagement related to the departmental mission and not considered teaching; and service to regional, national, and international organizations and agencies.

The department does not establish quantitative service criteria for conferral of tenure and notes that while a modest level of service is expected of probationary faculty, service alone, without a distinguished record of teaching and scholarly research, is an insufficient basis to award tenure. Because of this, probationary faculty should be cautious about accepting time-intensive service commitments.

### D. Procedures for Conferring Tenure

#### 1. Timing

Designation of the time for considering tenure for individual faculty members is the responsibility of the Department Head, in consultation with the faculty mentoring committee and other senior faculty. The faculty member may initiate the tenure and promotion procedure by requesting such from the Department Head. Guidelines for the time at which action can or must be taken are in the Faculty Tenure policy. The maximum period of probationary service of a faculty member is normally six academic years. The University credits individuals for one year of service for every year of prior service at accredited institutions to a maximum of three years unless

other arrangements have been agreed upon and approved by the Executive Vice President and Provost (See Faculty Tenure Section 5.4 for details. Available at [http://regents.umn.edu/sites/regents.umn.edu/files/policies/FacultyTenure1\\_0.pdf](http://regents.umn.edu/sites/regents.umn.edu/files/policies/FacultyTenure1_0.pdf)).

## 2. Documentation

The candidate for tenure will assemble a dossier that documents the candidate's professional progress during their current and previous appointments. The dossier comprises documentation of teaching (including extension and outreach), research (including curation and administration), and service listed under the section on criteria (Section III) above. The candidate may add any additional materials s/he considers relevant. Relevant information must not be excluded from the file, but the weight to be given to the views of any particular external reviewer, internal evaluator, or student is a matter to be considered by the decision-making bodies.

The dossier should contain 6 to 10 letters of evaluation of the candidate's teaching, research, and service by persons outside the University. The candidate may recommend evaluators, but the final choice of the evaluators is the responsibility of the Department Head. The external reviews must be obtained from individuals with no direct professional or personal interest in the advancement of the candidate's career (for example, they should not be former advisors, mentors, or co-investigators on previous work). In the case of curators, research administrators, extension specialists, or faculty with other unique appointments, the Department Head should request evaluation letters from external professionals with similar appointments.

## 3. Voting Eligibility

All academic faculty holding tenured appointments in the department have the obligation to participate in the discussion and vote on tenure recommendations, unless they have a conflict of interest. Those tenured faculty members who are senior in rank to the candidate may vote on promotion recommendations. An electronic copy of the candidate's dossier will be available to each voting faculty member and the Department Head will subsequently call a meeting for discussion of the recommendations.

For faculty with appointments in non-academic units (such as the Bell Museum and Research and Outreach Centers), a written report from the unit head will be requested for submission prior to the time of the FWCB faculty meeting for tenure consideration. Alternatively, the unit head may present an oral evaluation of the probationary faculty member at the FWCB faculty meeting. The unit head may not participate in the faculty discussion or vote during the meeting unless he/she is tenured in the Department. No other members of the unit should attend the presentation at the FWCB faculty meeting.

For faculty with split appointments in two or more departments whose tenure home is in the FWCB Department, the Head(s) of the other department(s) in which the faculty

member has appointment(s) may submit a written or verbal report of evaluation by the faculty of those departments. The other Heads may attend the meeting and participate in the discussion about the faculty member, but may not vote.

For all candidates, a written report from the MCFWRU will be requested by the Department Head for submission prior to the time of the FWCB faculty meeting for tenure consideration. The MCFWRU Leader will ensure that only faculty above the rank of the candidate will review the dossier and provide input. If the MCFWRU Leader is below the rank of the candidate but the Assistant Unit Leader(s) is/are above the rank of the candidate, the MCFWRU report will be delegated to an appropriate Assistant Unit Leader. In the event that neither the MCFWRU Leader nor Assistant Leader(s) are above the rank of the candidate, the MCFWRU will not be asked to provide a written report. The MCFWRU Leader or other Unit Scientists may not participate in the faculty discussion or vote during the meeting.

Persons who have a potential conflict of interest due to past or current familial or intimate relationships with a candidate must not attend or participate in the meeting where that candidate is being considered. If the candidate (or another member of the tenured faculty) wishes to challenge the participation of any member of the tenured faculty, that challenge must be made in writing to the challenged faculty member and to the department head at least two weeks before the scheduled tenure meeting, stating the reasons for the challenge and setting forth the relevant evidence. The fact that a member of the tenured faculty has formed a negative view of the candidate's teaching, scholarship, or service during the course of the candidate's career is not a basis for disqualification. In most cases, the Department Head will decide whether the challenged faculty member may participate in the decision. In cases where the Department Head is the challenged faculty member, the College Dean will make the decision. In doubtful cases, the College Human Resources director and, where appropriate, Director of the University Office of Equal Opportunity and Affirmative Action should be consulted in reaching a decision about disqualification, pursuant to its responsibilities under university policies. The record of the challenge and its resolution will be included in the file forwarded for review. If the challenged faculty member is not permitted to participate in the discussion and vote, that person shall be considered ineligible to vote and therefore shall not count toward the quorum requirement.

Attendance and participation at tenure review meetings are important parts of the duty of a member of the tenured faculty. A quorum must be present for discussion and vote on promotion and tenure. A quorum is defined as more than 50% of the faculty members eligible to vote on the matter. Abstentions are not counted in determining whether a majority of those voting cast votes in favor of tenure or promotion, as required to report an affirmative recommendation. However, the number of abstentions is reported as part of the vote tally and, in the review process, they will be considered an indication of lack of support for the candidate by those abstaining; therefore, abstentions are strongly discouraged. Tenured faculty members have an obligation to decide whether or not a candidate merits tenure or promotion

and to vote for or against tenure or promotion. If tenured faculty members are eligible to vote, and do not cast a vote, the number of such non-votes is reported but they are not counted as affirmative or negative votes, or as abstentions.

In addition, an effort must be made to provide a copy of the dossier to every tenured faculty member who will be absent from the meeting but wishes to cast a ballot. Such faculty members must be given an opportunity to participate and vote in the meeting electronically using the University secure voting software ([vote.umn.edu](http://vote.umn.edu)), or to vote by written absentee ballot, which should be sent in a sealed envelope to the unit head. These faculty members are encouraged to include a written evaluation of the candidate to contribute to the discussion. Proxy votes, telephone votes, fax votes, and email votes are not permitted.

#### 4. Conduct of Meeting

Voting options, except in the final year of the probationary period, are to recommend:

1. tenure,
2. continuation in present status, or
3. termination of the appointment.

In the final year of the probationary period, only options 1 and 3 are available. Absent members may vote by written absentee ballot and are encouraged to include a written evaluation of the candidate to contribute to the discussion. A secret ballot is taken, using either paper ballots or a confidential electronic voting system. A simple majority of those voting determines the recommendation. When the three voting options are available, a plurality or a tie vote is a recommendation for continuation. In the final year of the probationary period, a tie vote is a recommendation for termination of appointment. The details and results of the vote are included on the Faculty Tenure Record, which is then submitted to the Dean of the College of Food, Agricultural and Natural Resource Sciences.

#### 5. Reporting Recommendations

The Department Head solicits statements, written or oral, pro or con, from the voting faculty to aid in preparing a summary recommendation without personal attribution. Any written statements must be retained and made available to the candidate. The Department Head prepares a draft summary recommendation that is circulated for review by the voting faculty. The Department Head then prepares a final version, which is also open to the voting faculty for comment. Voting faculty who wish to submit additional written information, pro or con, may provide it to the Department Head for inclusion with the departmental recommendation to ensure that minority views, if any, are represented. Input submitted after the meeting must be identified as having been received after the meeting. The Department Head also prepares an additional statement of personal agreement or disagreement with the departmental recommendation. Before submitting the recommendations to the Dean, the Department Head informs the candidate of the results of the vote, and the

recommendations, and gives them a copy of the final Form 12 report. The candidate may submit comments on the report to the Dean, with a copy for the Department Head and tenured or senior faculty. Recommendations by the department are reviewed at the college and University levels, according to procedures indicated in the Faculty Tenure policy and the Procedures for Evaluating Candidates for Promotion and/or Tenure: Tenure-Track and Tenured Faculty.

## V. PROMOTION

### A. To Associate Professor

Because promotion to associate professor is associated with a decision concerning tenure, such a promotion must meet tenure standards, as outlined in Section IV.

### B. To Professor

Promotion to professor requires evidence of distinction in teaching, and national or international recognition for distinction in research and professional service. Please refer to section 9.2 of the *Faculty Tenure* policy (Included here as Appendix B).

In addition to meeting the criteria for granting of tenure, documentation for promotion to professor should include all of the following:

1. Invitations to symposia, election to scientific organizations, holding elected office in national or international societies, serving on an editorial board, or appointment to national or international research advisory committees.
2. Letters from authorities assessing the candidate's scientific contributions and indicating that the candidate is among the leaders in their field.
3. Evidence that at least one doctoral student has completed their degree under the faculty member's guidance and that graduate student advisees of the candidate have been placed in academic, public agency, not-for-profit, or private sector positions in their fields.
4. Letters from students or former students indicating effectiveness in teaching and/or mentoring.

### C. Conduct of Meeting

Conduct of the meeting for promotion from Associate to Full Professor is identical to that used in conferring tenure except that it is convened only with faculty members who are senior-in-rank to the candidate. A quorum is defined as more than 50% of the faculty members eligible to vote on the matter.

## VI. POST-TENURE REVIEW

### A. Statement of Goals and Expectations for Annual Appraisal

Tenure is granted with the expectation of continued professional growth and productivity, and every tenured faculty member has a duty to maintain professional competence. The goal of the post-tenure review is to identify faculty who are performing substantially below goals and expectations of their rank and to initiate a

process encouraging low-performing individuals to regain academic vitality and productivity at a level expected within the Department.

In accordance with Section 7a.1 of the Regents Policy on *Faculty Tenure*, the Department of Fisheries, Wildlife and Conservation Biology has established the following goals and expectations for tenured faculty members.

i. The faculty member shall teach a number of courses and/or implement extension programs consistent with their teaching and/or extension appointment.

Student/participant evaluations for those courses/programs should be generally good or improving, or there should be evidence that the faculty member is actively engaged in improving their teaching/extension. The faculty member should maintain the currency and relevance of their courses/extension programs to ensure that they are keeping up with disciplinary standards and serving student/stakeholder needs. The faculty member should make themselves available and provide assistance to undergraduate advisees assigned to them and contribute to the training of graduate students and/or post-graduates through advising and serving on student committees. Evidence of not meeting teaching expectations would include failure to teach/offer extension programs at a level commensurate with the faculty member's appointment; lack of substantive involvement in scheduled courses/programs; consistent unsatisfactory evaluations by a majority of students; or failure to maintain appropriateness and relevance of course content. Evidence of not meeting mentoring expectations would include failure to meet or make effort to meet with undergraduate advisees, or failure to meet college-designated expectations of a graduate advisor (Best Advising Practices for Graduate Student Success, Available on the CFANS intranet).

ii. The faculty member shall sustain a significant research and scholarship program of high quality consistent with their research appointment. This program shall be primarily through seeking and securing external funding and producing scholarly publications in refereed journals and other professionally relevant outlets (e.g., books, software packages). The faculty member should also advise graduate students and post-docs in a manner that promotes their professional development. Faculty members with curation responsibilities must continue to manage, maintain, and enhance collections. Faculty members with administrative responsibilities must continue to support their program's mission. In addition, non-refereed professional publications and presentations at seminars, symposia, or conferences are considered as contributing to scholarship. Evidence of not meeting expectations would include the absence or near absence (e.g., single instance) of authorship of scholarly publications in peer-reviewed journals or other professionally relevant outlets, lack or near lack (e.g., single submission) of proposals seeking or maintaining external funding (PI or co-PI responsibilities on large multi-year, e.g. 4-5-yr, projects may mitigate this expectation), incompetent management of sponsored research including violating university or sponsor rules; failure to properly advise graduate students/post-docs; neglect of curatorial or administrative responsibilities; or lack of an active research program.

iii. The faculty member shall sustain service within the University and to the profession consistent with their appointment. This will include service on at least one departmental, college, or University committees or the equivalent (e.g., advise a student organization); and continued service to their profession or the public (e.g., peer review of articles or grant proposals; editorship; evaluations of faculty/scientists from other institutions; active participation, including leadership, in professional associations; service on national and international committees; and scholarly and/or technical assistance to relevant public and private organizations). All faculty are expected to attend and participate in regular and special department faculty meetings, including those dealing with tenure, promotion, and the appointment and retention of faculty; serve effectively on various committees as elected or appointed or as duties require; and fulfill an appropriate level of administrative assignments in consultation with the Department Head. In all of these endeavors, substantive involvement is required. Evidence of not meeting expectations would include refusal to attend or participate in faculty meetings, or refusal to contribute to service at the departmental, college or university levels.

#### B. Procedures for Annual and Special Reviews

Faculty members awarded tenure will continue to submit annual activity reports to summarize their contributions in the areas of teaching, research, and service. Each faculty member will meet annually with the Department Head to review their annual activity report and discuss progress related to short- and moderate-term goals. The goals and expectations for tenured faculty members are parallel to those used in the granting of tenure, but will take into account the different appointments of faculty members and will acknowledge that senior faculty who take on exceptional service assignments may have reduced teaching or research productivity in the short term.

#### Departmental Faculty and Post-Tenure Review

The Department will elect annually a Faculty Review Committee that will consist of three tenured faculty members who are at the rank of professor. They will be elected by their departmental peers (tenured and tenure-track faculty). If fewer than three eligible faculty members exist in the Department, the pool of eligible nominees for election to the Faculty Review Committee will be expanded to include tenured faculty members at the rank of associate professor.

One purpose of the Faculty Review Committee will be to assist the Department Head in reviewing the performance of tenured faculty members. The review process will consist of the following steps.

1) The Faculty Review Committee will review the annual activity reports submitted by faculty members of the rank of associate and full professor to determine if faculty members continue to contribute sufficiently with regard to their appointment to the Department as defined in criteria i., ii., and iii. in section VI above. Information in the annual activity report may be supplemented by the university's Works system for annual activity reporting [works.umn.edu](http://works.umn.edu) (or similar *curricula vitae* software as suggested by the university). Each member of the Faculty Review Committee will be reviewed by the other members of the committee; the committee member under

review will not be present during the discussion. Additionally, the committee member being reviewed will not have access to meeting notes and ratings or other pertinent discussion items.

2) The Faculty Review Committee will notify the Department Head if a faculty member is not contributing sufficiently by one or more criteria for the year under review. The Department Head will let the faculty member know of this finding at their annual review.

3) In cases where a faculty member's annual performance is found to be deficient by the committee, the Department Head will review the faculty member's record and determine if they have consistently, when viewed over a period of three years, failed to demonstrate adequate contributions with respect to one or more criteria as outlined in i., ii., and iii, in section VI. A. above.

4) If the Department Head makes the determination that the faculty member has not contributed sufficiently over three years, the Department Head shall notify the individual in writing and refer the case to the departmental Faculty Review Committee for further review. If the faculty member whose performance is in question is a member of the Faculty Review Committee, they will be replaced by a special vote of tenured and tenure-track faculty.

5) The Faculty Review Committee will review the case, including the faculty member's annual activity reports for the three years in question and the Department Head's findings. The faculty member has the right to communicate with the Faculty Review Committee directly, in either written or oral form. The Faculty Review Committee may seek additional information regarding the case from individuals either inside or outside the department.

6) Upon completion of its review, the Faculty Review Committee will vote by written ballot to determine the outcome of the review. The vote shall be whether the faculty member has or has not consistently, when viewed over a period of at least three preceding years (excluding sabbaticals or leaves of absence), failed to demonstrate contributions with respect to one or more criteria (i., ii., and iii.) in section VI. A. above. The decision will be determined by a majority vote.

7) The Faculty Review Committee shall produce a written report of its review and finding, including all sources of information it used in arriving at the finding. The report must be made available to the faculty member and Department Head within one week of the review meeting. If the Faculty Review Committee does not concur with the Department Head's determination (i.e., step 3), no additional recommendations are needed.

If the decision of the Faculty Review Committee is that it agrees with the Department Head's finding that the faculty member has not made adequate contributions over the preceding three years, the Faculty Review Committee then must 1) develop, with the Department Head, a letter informing the faculty member of the decision and 2) work with the Department Head and faculty member to define a plan to overcome the deficiency. The faculty member will have one year from the date of the development of the plan to accomplish its goals. The plan should be appended as an addendum to the Faculty Review Committee's written finding (i.e, step 7).

If within one year the Department Head determines the faculty member has continued to fail in demonstrating contributions with respect to criteria i., ii., and iii. in section VI. A. above, the Faculty Review Committee must again meet to review the case. If they concur with the Department Head's determination, the Faculty Review Committee and the Department Head will jointly request that the Dean initiate a special review as provided in the University of Minnesota's *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty*, which provides details and explanations related to the University's tenure regulations as stated in *Administrative Policy Faculty Tenure: Twin Cities, Crookston, Morris, Rochester*, revised February 1, 2012. If the Faculty Review Committee does not concur with the Department Head's determination, the Faculty Review Committee will not support the Department Head in a request to the Dean and shall let this decision be known to the Dean. This will terminate the post-tenure review process for this instance.

## Appendix A

**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, advising, and mentoring 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.

## Appendix B

**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.

## Appendix C

**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.