

**DEPARTMENT OF SOIL, WATER, AND CLIMATE**

**UNIVERSITY OF MINNESOTA**

**GUIDELINES FOR DEPARTMENTAL STATEMENT REQUIRED BY SECTION 7.12  
OF THE REGENTS POLICY ON *FACULTY TENURE***

Approved by the Faculty

24 April, 2008

Approved by the Senior Vice President for Academic Affairs and Provost

2 May, 2008

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## INTRODUCTION

This document includes departmental policy statements related to goals and expectations for faculty (Section I), criteria and procedures for annual review of probationary faculty (Section II), criteria and procedures for promotion and tenure (Section III), procedures for annual performance reviews (Section IV), and criteria and procedures for post-tenure reviews (Section V). The following University of Minnesota governing documents can be viewed and printed from the Provost's web site:

*Regents Policy on Faculty Tenure*

*Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty*

*Academic Administrative and Professional Manual*

*Faculty Compensation Policy*

## DEPARTMENTAL MISSION STATEMENT

The Department of Soil, Water, and Climate has broad responsibilities in teaching, research, and extension for the disciplines of soil science, climatology, biometeorology, and related environmental sciences. It is the only unit in the state that confers post-graduate degrees in soil science. It is the major unit serving the research, teaching, and extension functions in soil, water, and climate for agricultural and environmental needs.

The Department has program responsibilities for undergraduate and graduate instruction, research, and extension activities that relate to soil, water, and atmospheric processes in natural and managed ecosystems. The highly interdisciplinary nature of the research, teaching, and extension programs in the department requires broad cooperation with colleagues in other departments, centers, and colleges of the University of Minnesota, as well as other institutions in the U.S. and abroad. The Department's programs are loosely organized around the following sub-specializations: 1) soil physics and hydrology, 2) soil chemistry and fertility, 3) soil biology, 4) pedology, 5) climatology and atmospheric sciences, and 6) biogeochemistry.

### A. Research Mission

Research in the Department addresses diverse needs related to crop production, natural resource management and the environment. It is highly interdisciplinary and is often conducted in partnership with faculty and staff from other departments and units in the University, regional technical committees, USDA-Agricultural Research Service (ARS) researchers, and with external partners in state, federal and international agencies and organizations.

Major research areas of the department include: 1) soil and plant nutrient management for improved crop production, sustainability, and environmental quality, including research on precision agriculture; 2) land use and conservation; 3) biogeochemical cycles of carbon, nutrients, and other elements; 4) monitoring and modeling climate interactions with agricultural

and other ecosystems; 5) remediation of pollutants and restoration of the environment; and 6) transport of nutrients, chemicals, sediments, and pathogens to surface and ground waters. Other areas of research include use of wastes on land, effects of soil and crop management on soil, air, and water quality, soil management for turf production and use, production of plant biomass as a source of renewable energy and effects of global climate and environmental change. Research on instructional methods or materials is also considered appropriate, particularly for faculty with majority teaching appointments.

The focus and scope of the research directed by individual faculty members varies with assignment, location, and responsibilities as described in the position description. Faculty at Research and Outreach Centers must be responsive to soil science issues related to agricultural production, natural resource management, and environmental quality problems in their respective areas. Therefore, an intense focus on narrowly defined problems should not be expected of them.

Many research areas require contributions from multiple disciplines and individuals. Research in interdisciplinary teams or settings is valued by the Department in the same manner as independent research. Because of the difficulties of determining individual contributions to interdisciplinary research, individual faculty members engaged in interdisciplinary research efforts should make extra effort to document their contributions to the whole.

#### B. Teaching Mission

The department participates actively in instruction and advising in a number of undergraduate programs, with particular responsibilities in the Environmental Sciences, Policy, and Management major. Courses taught by SWC faculty also serve as survey and prerequisite courses for other departments. The Department has a strong commitment to provide educational experiences for students outside the classroom. Student clubs, part-time jobs, field trips, soil judging, and individual counseling provide those experiences. The core curriculum follows closely those suggested by the Soil Science Society of America and the ARCPACS licensing and certification programs, and qualifies students to pursue licensure as a professional soil scientist in the State of Minnesota.

Graduate student training includes M.S. and Ph.D. programs in all areas of Soil Science, including Climatology. Course work requirements for each student are reviewed by the Graduate Advisory Committee of the Department and the Graduate School to insure that the students' needs are met and standards maintained. Thesis research by M.S. and Ph.D. candidates is conducted in most areas of Soil Science.

#### C. Extension Mission

The outreach component of the Department of Soil, Water, and Climate is provided through the programs of the University of Minnesota Extension and the educational programs of the regional Research and Outreach Centers. Additionally, it is expected that research and teaching faculty disseminate their research findings beyond journal publication. Extension education is provided to growers, agricultural professionals, K-12 educators and students, state and federal agencies, and the public through meetings, mass media, interactive TV, internet, diagnostic schools,

written publications (bulletins, newsletters, trade journals, fact sheets, etc.), field demonstrations, and participation in local and regional conferences.

Extension activities are closely integrated with other departments in the College of Food, Agricultural, and Natural Resource Sciences. Faculty with an Extension component in their appointment are encouraged to participate in, conduct, and publish adaptive research.

## **I. STATEMENT OF GOALS AND EXPECTATIONS**

Every faculty member in the Department of Soil, Water, and Climate is expected to contribute to all three duties of university faculty: (1) teaching, which includes extension teaching as well as undergraduate and graduate instruction; (2) research and scholarship; and (3) service activities. There may, however, be considerable variation for an individual faculty member in the fraction of effort devoted to each of these duties from term to term and year to year. In the spring of each year, the distribution of effort for each faculty member is planned for the following academic year in consultation with the Department Head, and used as the basis for performance evaluation at the end of the year. The goal is to optimize the contribution of each faculty member to the overall mission of the department, college and university.

Faculty are encouraged to demonstrate inquiry, creativity, attention to questions of diversity, and innovation through interdisciplinary and intercultural scholarship and teaching. Collaboration, 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.

It should be the goal of every tenure-track faculty member to attain the rank of full professor in due time.

The following policies and practices guide the development of annual faculty workloads. The specific criteria and standards applied in the annual merit evaluation and post-tenure review are those described in section II for tenure and promotion decisions.

1. Research, teaching and advising of graduate and undergraduate students, and extension teaching comprise the bulk of the faculty workload in the Department of Soil, Water, and Climate. The Head will see to it that the total workload is equitably distributed among faculty, based on the expertise of individual faculty and the needs of the Department.
2. A typical course load for faculty on a majority research appointment (typically 60 - 80% research with 40 to 20% teaching) is two courses per year. Higher teaching loads are expected of faculty with majority teaching appointments. Variation in this load is made in recognition of the additional effort required to teach some courses as opposed to others. All faculty, regardless of appointment type, may be expected to teach on occasion.
3. Appropriate reductions in course loads are made for faculty members with substantial extension appointments and those who undertake major service and/or administrative

responsibilities in the Department, such as being Head, Director of Graduate Studies, or Coordinator of an Undergraduate Major. Similar reductions in course loads are made for faculty who have major service or administrative responsibilities outside the Department. In such cases, it is expected that the unit for which the service or administration is performed will reimburse the Department for the corresponding fraction of the faculty member's time.

4. Course loads for a faculty member need not be distributed evenly over the academic year, if a different distribution makes it possible for the faculty member to increase his or her overall contribution to the university.
5. New faculty receive reduced course loads (typically only one semester-course during the first year of appointment) to enable them to more quickly establish their research programs.
6. Every faculty member, regardless of appointment specifics, is expected to be involved in research and/or scholarship. Research and scholarship are creative intellectual activities that are both validated by peers and communicated. Peer validation and communication can occur in a variety of ways as noted in the criteria and standards for promotion and tenure discussed later in this document including, but not limited to, peer-reviewed publication.
7. Every faculty member is expected to contribute to the governance and administration of the Department by participation in faculty meetings and by accepting responsibility for a fair share of assignments to standing committees and various special duties over the course of his or her career.
8. Faculty who are on approved leaves are relieved of all teaching, service and administrative responsibilities for the period of the leave, unless an exception is made by mutual agreement between the faculty member concerned and the Head. However, faculty on leave may still have continuing obligations to external funding agencies and graduate students during the leave period. Except in the case of formal medical or disability leave, faculty members are responsible for meeting those obligations personally or arranging for them to be satisfied by another suitable faculty member. In medical and disability cases, the department administration arranges for such obligations to be met. Faculty members on leave have the right, but not the obligation, to vote on matters of departmental governance, hiring, and promotion and tenure questions.
9. Faculty who are not on leave, but who have no formal course responsibility in a given term, are not relieved of any other teaching, research, service or administrative responsibilities during that term. It is understood that authorized travel may be undertaken during such periods. However, such travel must be arranged so that all other responsibilities are met.
10. Faculty are expected to be reasonably accessible on campus during the normal working hours of the university and the period of their appointment, except when teaching, research or service responsibilities require them to be off campus.

## II. ANNUAL APPRAISALS OF PROBATIONARY FACULTY

At the beginning of the probationary, tenure-track appointment, the Department Head will review the terms of employment with the faculty member. This review includes the following items of discussion:

- The Head will supply the probationary faculty member with copies of the *Regents Policy on Faculty Tenure* and the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty*, and this *Departmental 7.12 Statement* regarding specific criteria and procedures for promotion and tenure. If the faculty member is unsure about the application of the criteria, the discussion should seek to make that as clear as possible.
- The Head will inform the faculty member about the procedures used in the department to review teaching, research and service. The faculty member must be informed about the annual review process and made familiar with the annual report on *Appraisals of Probationary Faculty (PF-12)*. The faculty member must also be informed about his or her right to inspect the file and right of access to information.
- The Head, with input from and consent of the probationary faculty member, will assign a Mentoring Committee, consisting of two tenured faculty members, to the probationary faculty member.
- The Department Head, working with the faculty member and her/his Mentoring Committee, will ensure that documentation requirements for evaluation are met.

Beginning with the first year of the probationary period, the faculty member, the faculty member's Mentoring Committee, and the Department Head will gather appropriate data for the annual review. Evaluation will be based on the following materials:

- An updated Curriculum Vitae
- A summary of activities during the current calendar year as required for annual performance reviews (see Appendix A).
- Summaries of all teaching assignments, including student and peer evaluations as adopted by the Department. Faculty with Extension appointments should furnish a summary of program activities including titles of presentations and publications, along with a sample or description of materials developed for specific clientele.
- Student evaluations of each course taught, including both summary statistics and the raw data. Faculty having Extension appointments should include audience evaluations using a standardized evaluation form if possible.
- Peer reviews of faculty instructional activities. The Mentoring Committee for each probationary faculty member should evaluate faculty instruction.

- Copies of research or scholarly publications.
- A statement describing grant proposals submitted, proposals awarded, and other activities regarding internal and external funding.
- Copies of PF-12 forms for previous years.
- Other relevant materials.

From the information provided and from other sources, the Mentoring Committee will summarize the performance of the probationary faculty member in terms of the relevant criteria for annual review and tenure. This summary will be presented orally to the Tenured Faculty at the annual review meeting. The faculty member has the duty to inspect the basic file and the Mentoring Committee summary, has the right to inspect individual evaluations contained in it, and has the opportunity to add to the file or respond (citing his/her authorship) to anything contained in it, before the Tenured Faculty's annual review meeting.

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 annually review the progress of each faculty member under review. An annual meeting of the tenured faculty will be held toward the end of each calendar year at which time the reappointment of pre-tenure faculty members will be discussed. The Tenured Faculty will vote at this meeting, on a recommendation from the Mentoring Committee, to continue or discontinue the appointment of each pre-tenure faculty member. All Tenured Faculty in the Department will be eligible to vote at this meeting. For promotion or tenure decision meetings, a quorum shall be considered as at least two-thirds of those eligible to vote. Faculty members who are eligible to vote and unable to be present at the meeting due to extenuating circumstances can vote by absentee ballot by submitting a written, paper ballot to the Department Head prior to the meeting. A two-thirds majority of all Tenured Faculty in the Department is required to terminate the probationary period.

For faculty with appointment at a Research and Outreach Center, a written report from the ROC Head will be sought prior to the time of the Tenured Faculty meeting. Alternatively, the ROC Head may present an oral evaluation of the probationary faculty member at the Tenured Faculty meeting. The ROC Head may attend the meeting and participate in the discussion about the faculty member, but may not vote unless the ROC Head is tenured in the Department.

For faculty with split appointments in two or more departments whose appointment home is in the Department of Soil, Water, and Climate, 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.

After the annual review meeting, the Department Head will meet with each pre-tenure faculty member to discuss progress toward achieving tenure. The Department Head will review the

progress, the evaluation and vote of the Tenured Faculty, plus other relevant information, and will write the PF-12 statement reflecting the Tenured Faculty's evaluation and vote. The probationary faculty member will have the right to review and respond to the PF-12 statement before submission to the College.

### III. PROMOTION AND TENURE

This section describes the criteria and standards that will be used to evaluate whether candidates meet the general criteria in Section 7.11 of the *Regents Policy on Faculty Tenure* (see Appendix D).

**7.11 General Criteria.** What the University of Minnesota seeks above all in its faculty members is intellectual distinction and academic integrity. The basis for awarding indefinite tenure to the candidates possessing these qualities is the determination that each has established and is likely to continue to develop a distinguished record of academic achievement that is the foundation for a national or international reputation or both [3]. This determination is reached through a qualitative evaluation of the candidate's record of scholarly research or other creative work, teaching, and service [4]. The relative importance of these criteria may vary in different academic units, but each of the criteria must be considered in every decision [5]. Demonstrated scholarly or other creative achievement and teaching effectiveness must be given primary emphasis; service alone cannot qualify the candidate for tenure. Interdisciplinary work, public engagement, international activities and initiatives, attention to questions of diversity, technology transfer, and other special kinds of professional activity by the candidate should be considered when applicable. The awarding of indefinite tenure presupposes that the candidate's record shows strong promise of his or her achieving promotion to professor.

[3] "Academic achievement" includes teaching as well as scholarly research and other creative work. The definition and relative weight of the factors may vary with the mission of the individual campus.

[4] The persons responsible and the process for making this determination are described in subsections 7.3 through 7.6.

"Scholarly research" must include significant publications and, as appropriate, the development and dissemination by other means of new knowledge, technology, or scientific procedures resulting in innovative products, practices, and ideas of significance and value to society.

"Other creative work" refers to all forms of creative production across a wide range of disciplines, including, but not limited to, visual and performing arts, design, architecture of structures and environments, writing, media, and other modes of expression.

"Teaching" is not limited to classroom instruction. It includes extension and outreach education, and other forms of communicating knowledge to both registered University students and persons in the extended community, as well as supervising, mentoring, and advising students.

"Service" may be professional or institutional. Professional service, based on one's academic expertise, is that provided to the profession, to the University, or to the local,

state, national, or international community. Institutional service may be administrative, committee, and related contributions to one's department or college, or the University. All faculty members are expected to engage in service activities, but only modest institutional service should be expected of probationary faculty.

[5] Indefinite tenure may be granted at any time the candidate has satisfied the requirements. A probationary appointment must be terminated when the appointee fails to satisfy the criteria in the last year of probationary service and may be terminated earlier if the appointee is not making satisfactory progress within that period toward meeting the criteria.

The standards set forth are for a broad range of professional activities. The relative importance of the criteria will vary with differing individual assignments, but each of the criteria should be considered in every decision.

### **A. Teaching**

Individuals will be evaluated in terms of the content and the effectiveness of their undergraduate, graduate and/or extension teaching, and in student advising activities. Although primary attention will be given to regular and extension teaching programs, evaluation will also be made of, and importance attached to, involvement in other teaching programs such as continuing education courses or online courses.

#### ***Graduate and Undergraduate Teaching***

Graduate and undergraduate teaching involves managing the process of educational program development and conducting learning experiences for people enrolled for credit toward a degree. Criteria that will be used in evaluating the effectiveness of a faculty member as a teacher include course content, goals and objectives, teaching methods and styles, measurement of student learning, and role in advising. Sources of information for evaluation in this area include student and peer evaluations, instructional materials, and summaries of teaching goals and progress written by the faculty member.

The documentation for evaluating teaching will include:

- a. Written evaluations by students, including standardized evaluation forms and relevant student comments.
- b. Peer evaluations of teaching based on reports of classroom visits and analysis of curricular materials.
- c. If evaluations of teaching in previous years show room for improvement, progress in teaching should also be evaluated.
  - Has the faculty member participated in programs to improve his or her teaching?

- Is there an upward trajectory in teaching?

Standards specific for each of the criteria are described below:

a. Course content

- information should be important, correct, current and professionally credible.
- audience appropriate
- consistent with title and stated goals and objectives

b. Teaching materials, such as textbooks, readings, workbooks, syllabi, assignments, papers and grading rubrics

- should be appropriate to the level of the course and the students
- should promote gaining a deeper understanding of the topic
- should provide a coherent and logically connected body of knowledge

c. Assignments and learning activities should:

- facilitate learning;
- enable the student to be proficient in the subject by the end of the course; and
- be graded and returned in a timely manner with meaningful feedback.

d. Curricular design should:

- show evidence of periodic reevaluation of course content, readings, and goals with appropriate revision to keep course relevant and up-to-date
- be coordinated where possible with related courses and programs in the department, college and university

e. Professional competence in teaching

- demonstrates mastery of the subject matter
- develops timely, relevant and professionally accepted subject matter content
- is responsive to student and peer evaluations

f. Advising

- available to students
- knowledgeable about their own and students' responsibilities
- expresses concern about individual students' progress and is willing to help

***Extension Teaching***

Extension teaching differs from graduate and undergraduate teaching in that the learners are not necessarily enrolled in a degree program. This difference should not diminish the importance of Extension teaching in the evaluation process. Extension teaching activities can include, but are not limited to presentations to groups of a diverse clientele, participation in short courses and workshops, online educational programs, written publications and preparation of media releases. Criteria that will be used in evaluation of Extension teaching activities include: educational needs assessments, program development, and teaching effectiveness. A variety of sources are used to evaluate Extension teaching because the clientele base is so diverse.

The criteria for evaluating Extension teaching include:

a. Program Content Standards:

- Information is important, timely, accurate, research-based, and professionally credible
- Appropriate for the audience
- Consistent with the stated Extension Program goals.
- Responsible for development and delivery of curriculum and other program content.

b. Program Development:

- Interdisciplinary as appropriate
- Consults with other faculty as appropriate
- Considers audience needs and priorities
- Acknowledged leadership role in Extension Program area.

c. Program Presentation:

- Effectively communicates information and knowledge

- Appropriate use of program delivery methods
- Demonstrates sensitivity to needs of clientele.
- Serves as a major resource person in print and media programs
- Widely recognized as the person responsible for providing information to groups and individuals via formal and informal settings.

d. Program Impact:

- Evidence that program knowledge was utilized
- Changes in behavior by clientele served as a result of the program

e. Teaching Materials:

- Promotes depth of understanding
- Provides materials that are understandable and engaging for the clientele

f. Professional Competence:

- Utilizes the best available research-based information
- Demonstrates mastery of the subject
- Develops and delivers information in a timely manner

g. Teaching Improvement:

- Responds to clientele and peer evaluations
- Participates in workshops or structured programs to improve instructional ability

## **B. Research and Scholarship**

All academic faculty, regardless of appointment, are expected to conduct scholarly activities that bring distinction to themselves and to their department.

Research and scholarship include all activities from contributing to the development of new knowledge to the dissemination of new and existing knowledge through publication, seminars or conferences. Research/scholarship should be evaluated in terms of:

- the significance or impact of the research,

- the scientific merit of the research,
- the level of innovation and imagination shown,
- the relevancy of the research to problems facing the state, region, or specific ecosystem, and
- the quality of research findings.

Materials for evaluation include number of peer-reviewed and other publications, quality or impact factor of journal where research findings are published relative to the field of scholarship, amount and quality of work included in each publication, the individual's relative contribution in jointly-authored publications or interdisciplinary research, and the impact of one's research findings. Other criteria that may be used in evaluating research and scholarship include: oral presentations at invited symposia or seminars; patents; and the level of external funding requested, obtained, and effectively utilized.

The standards for evaluating research should include, where appropriate or available, the following items:

a. Significance and Impact

- Types of research undertaken will vary with appointment but in each case should balance issues of local, regional or international significance with cutting edge science
- Increasing national recognition as evidenced by professional honors, membership of national committees, and invitations to make presentations at national and international meetings and seminars
- Grant support in areas of research where such funding is available. While funding support on a year to year basis can fluctuate, succeeds overall in obtaining funding for research activities from external and/or internal sources
- Research activities are recognized as significant contributions and of national or international significance by peers.

b. Publications

- Publishes peer-reviewed articles in major professional journals with impact factors appropriate to the discipline
- Where the length of service permits, establishes a record for citation of these publications as evidence of significance

- Recognition of specific papers by the journal as “most-frequently read” or “most frequently-downloaded papers” in a given year
- Publishes books, chapters in books, or review articles that synthesize and extend research findings, and extend their distribution.
- Develops and maintains other forms of publication for research findings, including websites and newsletters
- Promotes the use of research findings in industry, by government agencies and internationally

c. Professional Activities

- Is invited to give presentations and seminars at the institutional, national or international level
- Is invited to participate in discussions of emerging issues and their importance
- Receives special professional honors and recognition

d. Professional Improvement

- Updates research skills by participation in workshops, semester and sabbatical leave programs, federal CRIS programs, and other professional development activities
- Initiates research into new lines of inquiry

Sources for evaluation include:

- Candidate’s personal statement describing program activities, accomplishments, professional activities and professional improvement and current resume.
- Copies of the candidate’s research or scholarly publications.
- Peer reviews.

### **C. Professional Service**

Though of lesser importance than research or teaching, service contributions made to the Department, College or University will be credited and evaluated, as will contributions to professional associations / societies and to community or governmental units where the contribution has significant “professional” content. All faculty, regardless of appointment, are expected to participate in faculty governance and committee service; however, probationary faculty are not expected to give more than minimal service.

Service in the context of tenure and promotion means service related to the individual’s disciplinary or academic expertise and the departmental as well as the University’s mission. This service may be rendered to professional organizations, learned societies, state and federal agencies, and the community, nationally or internationally. Participation in the governance of the University or its constituent units, including the Department, also falls into this category. Service to the community that is not professionally related is not relevant to decisions on tenure and promotion. Service should not be considered a major factor in performance evaluations, particularly for promotion and tenure.

Success in service may be supported by the evidence of service to Departmental, Collegiate, and University committees; authorship of major reports produced by such committees; leadership in departmental programs; membership or office in professional and scholarly organizations; assuming program responsibilities at professional and scholarly meetings; editing professional and scholarly journals; review of professional or scholarly publications, voluntary professional services to community organizations, governmental units, businesses, industries, and social service organizations; service to student organizations; consulting activities of a professional nature, especially those that can be used to enhance instruction in the College or to stimulate professional growth; and honors and awards related to professional service, such as honorary degrees, election to honorary societies, outstanding achievement awards, fellowships, and citations.

The criteria for evaluating service should include:

a. Service to the Department, College and/or University

- Serves on committees, task forces, or working groups.
- Attends and participates in departmental staff meetings, seminars and workshops.
- Responds to requests for voluntary tasks.
- Exhibits leadership towards resolution of departmental issues or problems.

b. Service to the profession

- Attends and participates in professional meetings.

- Serves on committees or boards or as an officer.
  - Engages in editorial work and/or reviews manuscripts in professional journals.
  - Serves on review panels for grants, departmental reviews, and others
- c. Service to community, state, federal or international agencies
- Provides professional service to community, state, federal or international agencies.

Sources for evaluation of service include:

- Candidate's current resume and a statement of the candidate's professional activities.
- Evaluation letters from organizations or individuals served.

#### **D. Performance Guidelines**

The following performance guidelines are used to summarize the candidates' performance in teaching, research, service, and international program participation for tenure and/or promotion consideration.

##### ***Performance guidelines for the granting of Indefinite Tenure***

- Development of a clearly defined research and teaching focus.
- Demonstrated evidence of research and scholarly achievement validated by one's peers.
- Successful advising of students.
- Recognition of potential for national disciplinary or interdisciplinary leadership.
- Documented evaluation of teaching at a satisfactory or higher level with strong potential for academic excellence.
- Evidence of adoption and use of research results or extension information by decision makers, scholars, and/or teachers.
- Evidence of continuing professional growth.

##### ***Performance guidelines for promotion to Associate Professor***

Promotion to Associate Professor is usually associated with a decision concerning tenure. Promotion to this rank must meet the above tenure guidelines.

### ***Performance guidelines for promotion to Full Professor***

Performance criteria for promotion to Professor are outlined in Section 9.2 (Appendix D) of the Regents Policy on *Faculty Tenure*, as stated below:

**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.

Departmental criteria include:

- Recognized national and/or international disciplinary leadership.
- Demonstrated ability to direct the research efforts of others.
- Contribute effectively to interdisciplinary programs.
- Evidence of tangible successful collaboration such as on grant proposals or multi-author publications.

- Documented evaluation of extension and/or classroom teaching at an effective level.
- Demonstrated effectiveness in the advising of students.
- Evidence of adoption and use of research results or extension information by decision makers, scholars, and/or teachers.

## **E. The Promotion and Tenure Process**

The tenure and promotion process of the Department of Soil, Water, and Climate is intended to comply with the *Regents Policy on Faculty Tenure*.

The procedures involve four groups of individuals: (1) the faculty member under consideration; (2) the Faculty (the tenured faculty or senior ranking faculty, depending on the decisions to be made); (3) the candidate's Mentoring Committee; and (4) the Department Head.

### ***Mentoring Committee Selection***

The Head, in consultation with each Assistant or Associate Professor, will select two faculty senior in rank to the junior faculty member to serve as a Mentoring Committee. These faculty will normally be assigned to the junior faculty member for the duration of the current rank. However, the faculty member may request a change in committee membership at any time. In addition, faculty are urged to establish informal mentoring relationships with other faculty and professionals, both within and external to the Department.

The departmental process is discussed in two parts: (1) formal consideration for tenure, and (2) procedures for promotion.

### **1. Consideration for Indefinite Tenure**

A tenure decision can be made at any time, but must be made by the sixth year of probation unless the tenure clock has been stopped. A faculty member does not have a right to an early tenure review and decision. The faculty member may request such a review, but the Department will decide whether or not to conduct it. An early formal review can be initiated by the Department Head or by vote of the Tenured Faculty with consultation and agreement by the faculty member. Where such a decision is made to conduct a tenure review, the process must conform to the regular annual schedule for such reviews. See Appendix C for an approximate annual schedule and Appendix B for a description of materials required for evaluation. Candidates may withdraw at any step in the tenure or promotion process.

The Department will conform to the schedule for formal action on tenure decisions as set forth by the Senior Vice President for Academic Affairs and Provost, and the Dean of the College of Food, Agricultural, and Natural Resource Sciences. The approximate dates and normal procedure of this department are outlined below. If a Candidate is away from the campus during this period,

some procedures may need to be altered and/or the Candidate may be asked to waive some of the opportunities to personally review all materials in his/her file.

Probationary faculty may request that the tenure clock be stopped for either childbirth/adoption or for caregiver responsibilities as well as the illness of the probationary faculty member as specified in Section 5.5 (see Appendix D) of the ***Regents Policy on Faculty Tenure***. When considering the record of probationary faculty who have stopped the tenure clock, criteria for promotion and tenure are no different than the criteria for those who do not have an extension to the tenure clock.

Sources of evaluation include the candidate's tenure file (see Appendix B for a detailed description of the sections and materials required in the tenure file) and letters of review requested from peers. Unsolicited letters of support from students, organizations, or other groups may also be included in the tenure file.

Letters of review will be solicited from external reviewers. All such letters received will be included in the tenure file; however, the candidate or Mentoring Committee may contribute comments addressing errors, misunderstandings, or deficiencies in the letters if they feel they misrepresent the case of the candidate. The candidate will be asked for a list of 10 potential external reviewers. The Mentoring Committee will also provide the names of 10 potential reviewers.

The majority of reviewers should be external to the Department and the University. For cases concerning Indefinite Tenure and/or promotion to Associate Professor, the reviewers should all be tenured associate or full professors or professionals of comparable standing in agencies or other research organizations. For cases concerning promotion to Full Professor, the reviewers should all be tenured full professors or professionals of comparable standing in agencies or other research organizations. In each case, one or two reviewers may be individuals from within the University of Minnesota or other individuals who have collaborated with the candidate in research, scholarship, or teaching, but the majority should be external to the University and should have only had limited contact with the candidate. See the *Procedures for Reviewing Candidates for Promotion and/or Tenure: Tenure-Track or Tenured Faculty* Section 12 for specific requirements regarding external reviewers.

The Department Head will initiate the annual Promotion and Tenure (P&T) process by requesting that potential candidates for promotion and/or tenure submit their request for review and by seeking input from Mentoring Committees about possible candidates. The Department Head will inform the Mentoring Committees and the tenured faculty of any requests received and may offer suggestions of other potential candidates for tenure or promotion.

The Mentoring Committee will then meet with potential candidates to discuss their credentials and likelihood of success. The Head may participate in these discussions.

The Head will discuss the P&T process and the required documentation (See Appendix B) with each candidate and will request a list of potential external and internal reviewers. Candidates will

be advised that they may withdraw from the process at any time. Candidates will be asked to submit a list of outside peer reviews and to prepare their file for consideration.

The Head and Mentoring Committees will select external peer reviewers for each candidate, selecting some of those provided by the candidate, some suggested by the Head or Mentoring Committee members, and others at their discretion. The Department Head will contact the suggested peer reviewers to determine their willingness to review the candidate's file and will send a letter to those reviewers agreeing to do so along with the candidate's file and copies of his/her scholarly contributions, and request a letter of evaluation for the file. Such reviewers will be told that the letter they submit will be in a file open to the faculty and the candidate. All letters of external review will be incorporated into the candidate's file.

The Mentoring Committee will review the materials submitted and may ask the candidate to explain or supplement these materials. Any additional information or evaluations necessary for the decision process will be developed at this time. The Mentoring Committee will prepare summary statements of one to two pages for each of the major sections (Research, Teaching, Service) for the candidate's file and will prepare to present the materials at the Tenured Faculty meeting.

The complete file of each candidate will be made accessible to the tenured faculty (and/or senior-ranking faculty) and the candidates for their review. An abbreviated version of the candidate's file and a ballot will be made available to eligible voting faculty who are unable to attend the forthcoming meeting at which tenured and/or senior-ranking faculty will vote on the candidate. The candidate may supplement the file and/or respond or comment on anything contained in it.

A meeting of tenured faculty (and/or senior-ranking faculty) will be held. The meeting will be conducted by the Mentoring Committee(s). Each candidate will be reviewed and voted on separately. A Mentoring Committee member will present the action to be considered on behalf of each candidate, and summarize the candidate's file. For candidates with split appointments or appointments at a Research and Outreach Center, the Head or other designated individual may present their summary of the candidate's record and achievements.

A discussion of the candidate will be conducted in which comments will not be identified by the contributor, but will be noted and summarized.

Following the discussion by the tenured faculty (and/or senior-ranking faculty), a secret, written ballot will be distributed to eligible faculty for vote and will be collected by the Departmental Administrator at the end of the meeting. The ballot will set forth the question(s) to be decided, the candidate's name, and the possible voting categories, including abstention and recusal.

Each candidate will be considered and voted on separately, assuring that only eligible voting faculty are present. For promotion or tenure decision meetings, a quorum shall be considered as at least two-thirds of those eligible to vote. Faculty members who are eligible to vote and unable to be present at the meeting due to extenuating circumstances can vote by absentee ballot by submitting the ballot to the Department Head prior to the meeting.

The Departmental Administrator will tabulate the vote and inform the Head of the results. The tally will include all absentee ballots received from eligible faculty unable to attend the meeting.

The Head will prepare a letter to the Dean concerning each candidate that will include a summary (without attribution) of faculty discussion, a tabulation of the faculty vote, and any response or interpretations noted to letters of external reviewers. This report will be submitted to the Dean and will be placed in the candidate's file for review by the candidate and voting faculty. The candidate may supplement the file at this point with additional signed statements.

The Department Head will forward the entire file including the Head's letter and any responses by the candidate to the Dean's office to be distributed to the college P&T committee. This will contain the following information: all documents read and relied upon by the faculty and Head in reaching their decisions, the faculty vote tally, the Head's report, and any supplemental statements or data presented to the file by faculty or the candidate. For those candidates seeking tenure, a copy of the current year's PF-12 report should also be included.

## **2. Promotion to Associate or Full Professor**

The procedures are based on Sections 7.11 and 9.2 (see Appendix D) of the Regents Policy on *Faculty Tenure*. For the most part, the procedures for promotion to Associate Professor parallel those for consideration for tenure. Applicable standards need to be considered for such promotions. Candidates may request consideration for promotion, but the department will decide whether the promotion consideration process should be initiated. The Department Head or the Senior ranking faculty will initiate the process.

#### **IV. ANNUAL PERFORMANCE REVIEW**

Every faculty and academic professional and administrative staff member's performance in research, teaching (both graduate/undergraduate teaching and extension teaching), and service is evaluated annually to review the individual's effectiveness in fulfilling the agreed upon responsibilities as well as his or her own growth and development. Recommendations for salary adjustments are made to the appropriate Deans and Directors by the Department Head based on these evaluations.

In January, all non-probationary faculty members will submit a Summary of Activities (see Appendix A) for the past calendar year and an updated CV to the Department Head. Probationary faculty members can update the materials previously submitted for their Annual Review if they wish.

The Faculty Evaluation Committee will likewise evaluate the materials each faculty member submits and will make their report to the Head. Faculty Evaluation Committee members must recuse themselves from evaluation of their own annual achievements. This report will be considered in developing salary adjustment recommendations for the Dean and Directors.

After completing his/her evaluation of the submitted materials, the Head then meets with each faculty member to discuss past performance and future plans. This meeting constitutes the faculty member's annual review for compensation.

## V. POST-TENURE REVIEW

**A. Regents Policy on *Faculty Tenure* and Senate Policy:** Departmental procedures comply with Section 7a, *Review of Faculty Performance*, of the *Faculty Tenure* policy. This Departmental Statement sets forth the goals and expectations for the performance of all faculty, the procedures for the conduct of Annual Reviews and, if necessary, the procedures for Special Peer Review. This Statement is intended as a guide for tenured faculty members and the department head.

### **B. Goals and Expectations:**

The goal of annual and post-tenure review in the Department of Soil, Water, and Climate is to ensure that all faculty members are contributing to the general mission of the Department as evidenced by their scholarly activities and productivity in teaching, research, and/or extension. It is recognized that the amount of effort devoted to teaching, research, or extension may vary significantly from faculty member to faculty member, and that it is appropriate for the distribution of effort to change over time for an individual faculty member. Each faculty member is also expected to contribute to service and administrative activities related to the mission of the Department and the University, and to their profession and discipline.

An individual faculty member's responsibilities are defined in a position description. Position descriptions can be revised annually and must be mutually agreed on by the faculty member and the Department Head. Dispute between the faculty member and the Department Head concerning the position description, and/or direction of work, will be referred to the entire tenured faculty for resolution. The evaluation criteria for post-tenure review are based on the performance standards for teaching, research, extension and service given below. The performance evaluation for each faculty member is made relative to her/his individual assignment and responsibilities.

Departmental goals and expectations are designed to take into account various stages of professional development. Tenured faculty are expected to fulfill the Departmental Mission in each of the following areas:

- Demonstration of scholarship and accomplishments in research
- Documented evaluation of teaching/extension activities at a satisfactory level
- Evidence of service and contribution to the Department, College, and/or University as well as to professional societies and disciplines at the regional, national, or international level

Satisfactory performance in the departmental mission areas of research, teaching/extension, and service will be evaluated according to the following criteria:

#### ***Graduate and Undergraduate Teaching***

Graduate and undergraduate teaching involves managing the process of educational program development and conducting learning experiences for people enrolled in University courses.

Criteria that will be used in evaluating the effectiveness of a faculty member as a teacher include: the course content goal and objectives; teaching methods; measurement of student learning and role in advising. Sources of information for evaluation in this area include students, colleagues, alumni, the Department Head, records, and the person under evaluation.

### ***Extension Teaching***

Extension teaching differs from graduate and undergraduate teaching in that the students are not enrolled in a degree program. Extension teaching activities can include group presentations, short courses, workshops, computer training, consultation, and information dissemination through publications, audio-visual materials and computer programs. Criteria that will be used in evaluation of extension teaching include educational needs assessment, program development, teaching methods and materials, clientele learning and teaching effectiveness. Sources of evaluative information are the same as for graduate and undergraduate teaching, though in the case of extension teaching there is a much wider type of clientele.

### ***Research and Scholarship***

All academic faculty, regardless of appointment, are expected to conduct scholarly activities that bring distinction to themselves, to their department, and to their profession.

Research and scholarship include all activities from contributing to the development of new knowledge to the dissemination of new and existing knowledge through publication, seminars or conferences. Research should be evaluated in terms of (1) the significance or impact of the research, (2) the scientific soundness of the research, (3) innovation and imagination, and (4) the amount or quality of research findings. Numbers of publications and quality of work included in each publication, and if joint authorship, the individual's contribution, will be considered. Other criteria that can be used in evaluating research and scholarship include: oral presentations at invited symposia or seminars; patents; honors and awards, such as honorary degrees, election to honorary societies, outstanding achievement awards, fellowships, and outside funding requested and obtained.

### ***Service***

Service in the context of post-tenure review means service activities that are related to the individual's disciplinary or academic expertise and the departmental mission. In addition, service can be rendered to professional organizations, learned societies, state and federal agencies, and the community, nationally or internationally. Consulting outside the University on an individual basis, participation in the governance of the University or its constituent units, including the Department, also fall in this category.

Success in service may be supported by the evidence of service on Departmental, College and University committees; authorship of major reports produced by such committees; coordination of instruction in multiple section courses or leadership in departmental programs; membership or office in professional and scholarly organizations; assuming program responsibilities at professional and scholarly meetings; editing professional and scholarly journals; volunteer

professional services to community organizations; governmental units, businesses, industries, and social service organizations; service to student organizations; consulting activities, especially those that can be used to enhance instruction in the College or to stimulate professional growth; and citations for professional service to volunteer organizations.

### **C. Required Documentation:**

Documentation for the Post-Tenure Review is the same as is required for the Annual Review (see Appendix A, Annual Summary of Activities Form).

### **D. Faculty Evaluation Committee Composition and Selection**

- The Faculty Evaluation Committee will consist of five tenured faculty members. At least three members of the committee will be at the rank of Full Professor.
- All faculty at the Professor or Associate Professor rank with tenure in the Department of Soil, Water, and Climate are eligible to serve on the committee. The Department Head cannot be a member of the Faculty Evaluation Committee. Committee members will serve for two years, with terms staggered such that either 2 or 3 members are replaced each year.
- The current Post-Tenure committee will take over the functions of the Faculty Evaluation Committee and from here on will be called the Faculty Evaluation Committee.
- New members of the Faculty Evaluation Committee will be selected by lottery from the pool of eligible faculty members.
- Newly tenured faculty will not be eligible to serve on the Faculty Evaluation Committee until the third year after the award of indefinite tenure.
- Faculty who have completed a term of service on the Faculty Evaluation Committee will be ineligible to serve on the Faculty Evaluation Committee in the first three years following the end of their term.
- The previous year's Faculty Evaluation Committee will be responsible for determining the pool of faculty eligible to serve on the Faculty Evaluation Committee and for conducting the lottery to select new members for the coming year.
- Service on the Faculty Evaluation Committee is expected of all eligible faculty. In the event that a faculty member needs to step down from the Committee before the end of their term (e.g., sabbatical leave, administrative appointment, family medical leave), the remaining members of the Committee will conduct a lottery to select a replacement member from the pool of eligible faculty.

## **E. The Post-Tenure Review Process**

The Faculty Evaluation Committee contributes information that assists the Department Head in assuring equitable treatment of all faculty in tenure, promotion, post-tenure review, and salary considerations. Participation by the Faculty Evaluation Committee in this advisory role is required.

The Faculty Evaluation Committee members and the Head each conduct a separate Annual Review of all faculty members. Their comments and numerical evaluations are summarized in a meeting of the Faculty Evaluation Committee and the Head. This Annual Review is used, in part, for salary determinations by the Head and to provide suggestions and recommendations to the faculty member concerning his/her development.

As part of the annual review process, the Faculty Evaluation Committee and the Head will separately make a determination on the performance of each tenured faculty member for purposes of post-tenure review.

## **F. Determination of Below-Standard Performance**

Either the Head or the Faculty Evaluation Committee may determine that a faculty member's performance during the previous year is "substantially below the goals and expectations for the Department" as stated above. If the Head initiates consideration, the Faculty Evaluation Committee will conduct an independent assessment. A majority secret vote [4 of the 5 Faculty Evaluation Committee members] of the Committee is required to make a determination. If the Faculty Evaluation Committee initiates consideration, the Head will conduct an independent assessment and will provide a written assessment of her/his findings to the Faculty Evaluation Committee. If the Head and the Faculty Evaluation Committee then agree that action is needed, they will provide the faculty member written suggestions for improving performance as described above. The faculty member will have 30 days to respond to the finding in writing and may request a meeting with the Faculty Evaluation Committee, the Head, or both.

In recognition of annual variability in performance indicators, a finding of substandard performance in any one year is not considered sufficient to initiate consideration of a formal post-tenure review or evaluation. A finding of substandard performance by either the Head or the Faculty Evaluation Committee in two out of any three consecutive years, however, will be considered sufficient to initiate a formal review of the individual faculty member's performance during that particular three year period.

If the Head and the Faculty Evaluation Committee do not agree that action is needed, no action plan will be initiated at that time. However, in the following year the performance of the faculty member will automatically be evaluated independently by both the Head and the Faculty Evaluation Committee and, if their findings agree, the appropriate action will be taken as described above.

If the Head and the Faculty Evaluation Committee agree that action is needed, they will provide the faculty member written suggestions for improving performance over a designated period [usually at least one and no more than two years] as specified in Section 7a.2 of the *Faculty Tenure* policy. To initiate discussion and possible resolution of the performance issues, the faculty member may respond in writing to the suggestions and may request a discussion with the Head and Faculty Evaluation Committee. The faculty member will then develop a plan of action for discussion, review

and approval by the Head. Throughout this process, the Department will be supportive of the faculty member and, as appropriate, will endeavor to provide suitable resources and/or release time for training or other activities for the purpose of improving the faculty member's performance. (Section VI. F.)

If the Head and the Faculty Evaluation Committee agree that the faculty member's performance has not improved adequately by the end of the specified time, then the Dean will be requested to initiate a Special Peer Review as specified in Section 7a.3 of the *Faculty Tenure* policy.

### **G. Special Peer Review in Cases of Alleged Substandard Performance**

The Dean will review the faculty member's file to determine if a special peer review is warranted. If the Dean determines a special peer review is required, it will be conducted by a panel of five tenured faculty members of equal or higher rank. One member may be selected by the individual under review. The remaining members will be selected by secret ballot by the tenured faculty in the unit, but do not have to be members of their academic unit. The Special Peer Review Panel will provide adequate opportunity for the faculty member to participate in the review process and shall consider alternative measures to assist the faculty member to improve performance. The panel makes recommendations to the dean, the head of the academic unit and the faculty member. These findings may range from recommending:

- the faculty member's performance is adequate;
- the faculty member's allocation of effort be altered to capitalize on their strengths;
- the faculty member undertake specific steps to improve performance with subsequent review (Section 7a.2 and 7a.3);
- the faculty member's performance is so inadequate as to justify salary reductions (Section 7.4a);
- the faculty member's performance is so inadequate to recommend the Dean commence formal termination or involuntary leave of absence (Sections 10 and 14) or
- some combination of these measures.

Within 30 days of receiving the report, the faculty member may appeal to the Judicial Committee the recommendations of the special peer review analogous to the review of tenure decisions (Section 7.7).

## **VI. APPENDICES**

### **Appendix A. Annual Summary of Activities Form**

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#### **Annual Summary of Activities**

January, 2006 to December, 2006

##### **A. Personal Data**

Name

Graduate Faculty Appointments

##### **Appointment**

Research / Teaching / Extension

##### **Job Description**

##### **B. Instructional Activities**

###### **Courses Taught**

<u>Course</u>	<u>Credits</u>	<u>Enrolled</u>	<u>Semester</u>	<u>Contact Hrs</u>	<u>% Contribution</u>
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###### **Course/Curriculum Development**

###### **Other Instructional Activities**

##### **C. Extension / Outreach Activities**

###### **Program Team Involvement and Goals**

###### **Product Development**

###### **Program Delivery Events**

## **Program Evaluation and Measurable Impacts**

### **Extension Scholarship**

#### **D. Research Activities**

##### **Refereed Publications**

*Published*

*In Press / Accepted*

##### **Non-Refereed Publications**

**Abstracts**

**Books / Book Chapters**

**Invited Lectures**

**Research Grants**

(status: Awarded, Not Funded, and Submitted/In Review)

*Equipment*

(Title, Agency, PIs, your funds / total funds, Dates, funding status.)

*Research*

(Title, Agency, PIs, your funds / total funds, Dates, funding status.)

**Other Research Activities**

#### **E. Advising**

**Graduate Advisees**

*Current*

*Graduated*

**Post-Doctoral Fellows**

**Research Associates and Fellows**

**Undergraduate Researchers**

**Examining Committee Assignments**

*Current*

*Completed*

**Undergraduate Advisees**

**Other Undergraduate Service**

**Other Advising Activities**

**F. Service / Outreach**

**Committees**

*Departmental Committees*

*College Committees*

*University Committees*

*National Committees*

*Administrative Functions*

**Research Journal or Proposal Reviews**

**Panel Membership**

**Other Service**

**G. Professional Development**

**Professional Development Activities**

**Professional and Honorary Society Memberships**

**Other Professional Activities**

## **Appendix B. Format for Tenure File**

The dossier submitted for evaluation for Tenure or Promotion in academic rank should provide a thorough summary of the activities, accomplishments, goals, and philosophy of the faculty member. These documents should include the following sections supplied by the candidate:

### **Personal Statement.**

This statement should summarize the research, teaching, extension, outreach, and service accomplishments of the candidate. It should also outline and provide a philosophical framework for the candidate's overall program.

### **Curriculum Vita**

An updated CV is required.

### **Research**

A description of accomplishments in research, including a description of the candidate's main research efforts/areas and his/her role in those projects; presentations at professional meetings; grant applications submitted and funded, along with the approximate portion of multi-investigator awards going to the candidate, and a description of awards or other measures of impact.

### **Teaching (where applicable)**

A description of accomplishments in teaching, including the candidate's philosophy of instruction; a full listing of courses taught; a description of coursework development efforts; student evaluation summaries; reports of peer evaluations; and a description of awards or other measures of impact.

### **Extension (where applicable)**

A description of accomplishments in extension programming, including presentations, workshops, publications, and others; development of educational materials such as oral presentations, web pages, brochures, articles for the popular press, and others; leadership roles on programming teams, service as Area Program Leader; and a description of awards or other measures of program impact.

### **Service**

A description of service to the profession, including service on committees at the department, college, university, or national levels; service to professional organizations, including membership on committees, organizing meetings or sessions, editorial board positions, review of manuscripts and proposals, service on panels, and other appropriate service; other types of professional service; and a description of awards or other measures of impact.

### **Sample Publications (3)**

### **PF-12 Documents (for Tenure cases only)**

**Additional Materials (where applicable)**

May include unsolicited letters from students or other individuals; the candidate's response to specific materials; or other applicable materials that may help in the evaluation process.

## **Appendix C. Annual Promotion and Tenure Calendar**

These are approximate dates and are subject to vary from year to year.

- May 1** Faculty who are in their Tenure Decision Year, who seek early Tenure and Promotion, or who seek Promotion to Full Professor, meet with their Mentoring Committees and the Department Head to discuss their candidacy.
- May 15** Faculty who proceed to candidacy for Tenure and/or Promotion should meet with their Mentoring Committees and begin preparation of their dossier. The Head will supply each Candidate with a copy of the Department 7.12 statement and provide information about the review calendar and process.
- July 15** Candidates should submit a list of ten potential reviewers to the Department Head. The Mentoring Committee members should also submit a list of ten potential reviewers to the Department Head. The Head, in collaboration with the Mentoring Committee, will determine a list of external evaluators.
- August 1** The Head will contact the potential external evaluators to determine their willingness to serve as an external reviewer. Candidates should submit draft dossiers to their Mentoring Committee to be evaluated for completeness. Mentoring Committee members should review the document and provide comments back to the Candidate within two weeks.
- August 20** Candidates should submit a final copy of their dossier to their Mentoring Committee and the Department Head.
- August 30** The Head will send copies of the dossier, along with a letter of request and a copy of the Department's 7.12 statement, to those external reviewers agreeing to review the candidate's dossier. Reviewers will be requested to submit their reviews to the Head within four weeks.
- October 1** The Head will compile the letters of reference and will collate them with the Candidate's dossier. These documents will be made available for review by the Candidate's Mentoring Committee and the tenured faculty in the department.
- October 15** The Tenured Faculty will meet to evaluate the Candidate and to vote on the Tenure or Promotion case. The Department Head will inform the Candidate of the vote tally and will inform the Candidate that they have the right to submit a written response if they wish.
- November 1** The Department Head will write a letter summarizing the faculty discussion and vote. A copy will be provided to the Candidate and they will be informed they have the right to submit a written response if they wish.

**November 15** The Candidate's dossier will be submitted to the Collegiate Promotion and Tenure Committee for evaluation.

## **Appendix D. Specific Sections of the Regents Policy on Faculty Tenure, Approved June 8, 2007**

**Section 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.

**Section 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.

**Section 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.

**Section 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.