

University of Minnesota, Morris
Division of Science and Mathematics

**Statement of Departmental Standards for Tenure, Annual Reviews of Probationary
and Tenured Faculty,
and Promotion for Probationary and Tenured Faculty**

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I. Introduction

Reviews of faculty for promotion and tenure and annual performance appraisals at the University of Minnesota, Morris (UMM) are conducted in accordance with all-University policies and procedures contained in the Board of Regents Policy: *Faculty Tenure* and related documents.

Candidates for indefinite tenure and/or promotion in rank are judged on demonstrated accomplishments and on potential for future development in the areas of teaching, research, and service. This document describes specifically the indices and standards that are used to evaluate candidates for the following personnel evaluations:

- annual reviews of probationary faculty (Section 7.2 of the Regents Policy: *Faculty Tenure*).
- recommendation for awarding indefinite tenure (Section 7.11 of the Regents Policy: *Faculty Tenure*).
- recommendation for promotion to full professor (Section 9.2 of the Regents Policy: *Faculty Tenure*).
- annual and periodic performance appraisals for post-tenure review (Section 7a. of the Regents Policy: *Faculty Tenure*).

For a more complete perspective, the reader is advised to review Sections 7 and 9 of the Regents Policy: *Faculty Tenure* in their entirety as well as the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty*.

The appendices of this document contain the text of the Regents Policy: *Faculty Tenure* as follows: Appendix A contains the text of Section 7.2, Appendix B contains the text of Section 7.11, Appendix C contains the text of Section 9.2, Appendix D contains the text of Section 7a, Appendix E contains the text of Section 7.12, and Appendix F contains the text of Section 5.5.

II. Mission

The mission of the Division of Science and Mathematics is one of teaching, research, and service within the context of an undergraduate, publicly supported, liberal arts college. Its primary concern is to provide quality undergraduate instruction in the natural and mathematical sciences so that its graduates are well prepared to seek employment at the B.A. level, to enter graduate or professional school, or to teach at the secondary school level. The division's faculty engage in research activity not only to discover new knowledge but also as a way of teaching students how to do research and as a means of maintaining their own intellectual vitality. Members of the division also provide important service to the University, to their professions, and to the general public.

III. Annual Review of Probationary Faculty and Extending the Probationary Period

A. Annual Review

Pursuant to Section 7.2 of the Regents Policy: *Faculty Tenure*, each probationary faculty member's performance will be evaluated annually by the division's tenured faculty with a recommendation of continuation of the probationary period or termination. Probationary faculty are required to submit a portfolio annually containing documented evidence of their contributions in the areas of teaching, research, and service. This portfolio is made available to the tenured faculty and a meeting is held at which the probationary faculty member's performance is evaluated by the tenured faculty of the division. A vote is taken on whether to continue or terminate the faculty member's appointment. A summary of the evaluation discussion and of the vote is written by the division chair, reviewed by the faculty who participated in the meeting, and given to the candidate on President's Form 12. The division chair and faculty member meet to discuss the review and the recommendation. The Form 12 is signed by the candidate and the division chair and is then submitted to the Office of the Vice Chancellor for Academic Affairs and Dean.

A tenure decision is required in or before the 6th year of the probationary period unless the period is extended as provided for in Section III.B. Anyone requesting early determination of indefinite tenure and promotion to associate professor must notify the Division Chair by March 31st of the academic year preceding the year in which the decision is to be made.

B. Extending the Probationary Period

The Regents Policy: *Faculty Tenure* allows probationary faculty who meet the guidelines to request an extension of their probationary period one year at a time. See subsection 5.5 of the policy (or Appendix F) for circumstances and procedures that apply.

Annual appraisal of faculty is required even if their probationary period is extended. Extension of the probationary period must be noted when appraising probationary faculty. However, when considering the record of probationary faculty who have extended the probationary period, criteria for promotion and tenure are no different than the criteria for those who did not have an extension of the probationary period.

IV. Conferral of Indefinite Tenure

The Regents Policy: *Faculty Tenure* mandates that all faculty who receive indefinite tenure must satisfy University criteria for contributions to its teaching, research, and service missions and uphold its academic integrity. The conferral of indefinite tenure is determined by the criteria of teaching, research, and service. The relative weight placed on the three criteria varies among the various units of the University. The University of Minnesota, Morris, places greater weight on quality of teaching but also recognizes research as an essential component--candidates for indefinite tenure must be strong in both teaching and research. Service alone cannot qualify a candidate for tenure. In addition, the pattern of performance should indicate, by its consistency, that the faculty member is likely to contribute to all three activities during the remainder of their tenured career.

Judgment of strength in teaching and research is based on a balance of qualitative and quantitative factors, as detailed below. The factors below are not meant to be a checklist for a successful tenure decision, but instead examples of evidence that can be used to evaluate performance. The qualitative and quantitative standards for tenure and promotion must be met by faculty regardless of extensions of the probationary period (according to Section 5.5 of *Faculty Tenure*) or early consideration for promotion.

In the case of a faculty member whose appointment is less than full time, the standards of quality of performance expected for tenure are the same as for full-time appointees but the quantity of work expected is adjusted to match the percent of appointment. In making the decision about tenure for such an individual, the department will take special care that judgments of quality are not biased by the reduced expectations of quantity.

A. Teaching and Advising

Faculty are expected to have a substantial and on-going record of teaching effectiveness (including academic advising). Each faculty member's file will include evidence of teaching effectiveness.

Evidence must include

- A clearly articulated teaching statement that includes a list of courses taught, including credits and enrollments as well as discussion of teaching goals and outcomes.
- An evaluative summary of course or lab development activities and outcomes.
- Teaching materials such as syllabi, lecture notes, laboratory exercises, course web sites, material covered, examinations given, descriptions of pedagogical methods employed, or peer reviews.
- Student feedback for each course taught by the candidate. The division office will keep numerical summaries of all student ratings of faculty teaching. Additionally, original complete sets of Student Ratings of Teaching forms will be considered.
- A minimum of ten letters from former students.
- Review of the quality of and contribution to undergraduate student advising and mentoring; for example, evidence from advising evaluations, participation in advising-related events, advising awards, as well as advising senior seminar students, and participation in research opportunities with students.

Evidence may also include

- Evaluative statements from other academic professionals.
- Contributions made to the curriculum of the Discipline (made individually or resulting from participation in committees or workshops devoted to curriculum development and assessment) including but not limited to:
 - Development of courses, course sequences, new areas of instruction, major/minor sequences or substantive refinements of course.
 - Use of new technologies.
 - Programmatic innovations.
 - Service learning or community-based learning/research.
- Development of instructional material (made individually or resulting from participation in committees or workshops devoted to curriculum development and assessment) including but not limited to:
 - Computer software.
 - Compilations of readings, workbooks and course guides.
- Receipt of teaching awards and other formal recognitions of teaching excellence.
- Receipt of grants for curricular development or for the preparation of instructional units. The successful completion of the funded project shall also be considered.
- Evidence of scholarly approaches to teaching such as attending teaching workshops or conferences, etc.
- Interdisciplinary work, public engagement, international activities and initiatives, and attention to questions of diversity.
- Publications concerning teaching, teaching methods or other pedagogic subjects in refereed journals.
- Major contributions to the organization or improvement of curricula or innovation of or participation in advising-related programs.
- Textbook authorship.
- Development of teaching tools, including but not limited to technology-based tools that are adopted by others.
- Organization of short courses or workshops on teaching.
- Invitations to give lectures, participate in symposia, write reviews, etc., on education
- Extramural grants for innovation in education.
- Results of direct assessment of student learning
- Any other evidence that documents teaching effectiveness.

B. Research

Strength in teaching must be accompanied by a strong and consistent record of scholarly productivity. A variety of scholarly activities is acceptable within the Division of Science and Mathematics, including the production of refereed and unrefereed publications, conference presentations, and books or book chapters. Engaging undergraduates in research is highly valued. The Division recognizes that resource limitations and the heavy teaching and service load at UMM may limit research productivity.

All research activities are expected to make a significant contribution either to scholarly inquiry related to the faculty member's research program and/or to the scholarship of teaching and learning. "Significant" is here defined according to national and international standards in the field of inquiry and as commensurate with the individual's status as a member of the University of Minnesota faculty.

Each faculty member's file will contain evidence of research effectiveness.

Evidence must include

- A clearly articulated research statement that includes a discussion of research activities as well as a description of plans for future work.
- The record of scholarly productivity, including:
 - The nature of the publication in which a paper is presented (refereed or unrefereed and its selectivity).
 - The nature of the conference at which a paper or poster is presented (regional, national, or international and its selectivity).
- Quality, consistency, and future potential of scholarly work as evaluated by Division faculty and external peers. A minimum of four letters from established scholars in the field of inquiry is required. According to the *Procedures*, at least half of external reviewers and no fewer than four, must have no professional interest in the advancement of the probationary faculty member (e.g. former advisor or mentor).

Evidence may also include

- Invitations to present lectures, symposia, write review articles, etc.
- Receipt of internal or external funding (or favorable evaluation of a grant proposal that was not funded).
- Participation in research opportunities with students including but not limited to Morris Academic Partners, Minority Mentorships, or the Undergraduate Research Opportunities Program.
- National or international recognition including awards and invitations to present work at conferences or host institutions.
- Interdisciplinary work, public engagement, international activities and initiatives, and attention to questions of diversity.
- Any other evidence that documents research effectiveness

The quality, significance, and future potential of scholarly activity are more important than the quantity. In addition, the time required to obtain results in a particular area of inquiry is taken into consideration.

C. Service

Service contributions play a secondary but important role in evaluation for tenure within the Division of Science and Mathematics. Faculty are expected to provide effective service that may include institutional, professional, and public components. The nature of the Morris campus is such that faculty involvement in governance and administrative functions is critical to the continued health of the institution. The focus is on service contributions that demonstrate both ability and commitment to work effectively for the betterment of the institution, the profession, and the general public. Each faculty member's file will include evidence of effectiveness in service.

Evidence must include

- a list of service activities accompanied by a narrative describing the nature of the service and the role and/or accomplishments of the faculty member's service.

The list may include:

- Participation in professional organizations
- Contributions of professional expertise to the field (e.g., acting as a reviewer of papers, discussant at a national conference, organizer of panels).
- Public engagement activities or consulting relating to one's academic expertise.
- Participation in UMM and/or University committees and related structures, advising student organizations, and the undertaking of other leadership opportunities within the University (e.g., serving as a discipline coordinator or on search committees).
- Any other evidence that documents effectiveness in service.

The quality of the faculty member's participation carries more weight than quantity. While service is considered an integral and valuable part of one's duty as a faculty member, exemplary service alone cannot qualify the candidate for indefinite tenure.

V. Promotion

A. Assistant Professor

Faculty at UMM can be hired as tenure-track faculty at the rank of instructor even if they have not completed their Ph.D., but will not receive the rank of Assistant Professor until their degree is conferred.

B. Associate Professor

Promotion to rank of Associate Professor is based upon: demonstrated effectiveness in teaching and advising students; a record of scholarly productivity that has earned the respect of peers; demonstrated effectiveness in professional, university, and public service; and academic integrity consistent with the criteria for tenure.

C. Professor

Promotion to the rank of professor is based upon: demonstration of continuing excellence in teaching and advising; significant addition to a record of scholarly achievement; establishment of a national and/or international reputation in one's field; continued effectiveness in professional, university, and public service including the demonstration of leadership within the campus community; and ongoing demonstration of the academic integrity expected of all faculty members. See further Appendix C, "Criteria for Promotion to Professor," section 9.2 of the Regents Policy *Faculty Tenure*.

For promotion to the rank of Professor, the primary emphasis must be on teaching and scholarly activity. While service alone cannot qualify the candidate for promotion, a greater contribution in

the area of institutional service is expected of candidates for the rank of Professor than was expected for the awarding of tenure. The process for assessing the faculty's teaching, research and service is similar to that used in the conferral of indefinite tenure.

Associate professors are strongly encouraged to achieve the rank of professor.

VI. Review of Tenured Faculty Performance

A. Tenured Faculty Review

Section 7a of the Regents Policy: *Faculty Tenure* mandates annual reviews of faculty performance as well as special peer reviews of faculty whose performance falls substantially below the goals and expectations of the academic unit.

The goal of post-tenure review is to give faculty members an opportunity to maintain and improve their performance in teaching, research, and service.

B. Goals and Expectations

Tenured faculty in the Division of Science and Mathematics are expected to contribute significantly and consistently to the mission of the University through its programs of teaching, research, and service over the course of their careers. Faculty will, on an annual basis, be expected to demonstrate vitality and achievement in all three functions.

Teaching and Advising

Every tenured faculty member will demonstrate effective teaching and advising. The minimum expectation is that evidence of effective teaching and advising will be documented in the annual report of activities that will include:

- A statement of teaching goals and methods.
- A list of courses taught in the past year with second-week and final enrollments.
- A summary of the standard student rating of teaching measures.
- A description of curricular innovation such as development of new courses or materials, or use of significant new teaching strategies, or self-critical examination of existing materials and strategies.
- Documentation of annual academic advising, including the number of advisees, and advising at least once every three years of student research projects such as students working under the Morris Academic Partners program or the Undergraduate Research Opportunity Program, or the advising of senior seminar students.

Research

Every tenured faculty member will be engaged in research activities. Engaging undergraduate students in research is highly valued. The minimum expectation is that evidence of research

activity will be documented in the annual report of activities that will include a description of the current research program including progress made in the past year.

The description could include evidence of:

- Publication of a book, a chapter, or a paper in a peer-reviewed journal or conference.
- Presentation at a peer-reviewed conference.
- Receipt of a grant from an external agency.
- Presentation at regional, national, or international conferences focused on the research area of the faculty member.
- Presentations at regional, national, or international conferences by undergraduates who conducted the work under the supervision of the faculty member.

Service

Every tenured faculty member will demonstrate effectiveness in service activities. The minimum expectation is that evidence of effective service will be documented in the annual report of activities such as:

- Service in discipline, division, college, or university governance.
- Service to the profession.
- Public service or community outreach which relates to the individual's role as a university faculty member.

C. Annual Review Process for Tenured Faculty

- (1) The division chair will review the performance of each faculty member annually in the spring. If, as a result of the annual review, the division chair finds a tenured faculty member's performance to be substantially below the goals and expectations of the division for three consecutive years, the peer review committee will also review that faculty member's performance.
- (2) The peer faculty review committee shall be elected annually, by the tenured faculty, during the spring term and it will serve from the day immediately after the end of the spring term through the end of the spring term of the following year. The committee shall be made up of three members and an alternate, all tenured faculty in the division. At least one of the faculty members shall be a tenured full professor. The positions will be for a two-year term. Positions shall be staggered to provide some continuity in the membership. A faculty member cannot be elected for more than four consecutive years. The peer review committee shall elect its own chairperson. If one of the elected faculty members is being reviewed or is unable to serve for other reasons, the alternate will serve in his/her place for that review.
- (3) The Division Chair will forward copies of the last three annual reports to the review committee by the first week of the fall term. The peer review committee will review those documents in light of the goals and expectations of the division. The peer review committee will submit a report to each faculty member reviewed and to the division chair by the end of the fall term.
- (4) If the peer review committee concurs with the division chair that a faculty member's performance has been "substantially below the goals and expectations of the unit" for three

consecutive years they must send a letter or memorandum to the faculty member, stating that finding. The letter must be signed both by the division chair and by the chair of the committee, must specify the deficiencies, and must set a time period (no less than one year from the date of the letter) during which the faculty member should address the identified problems. Both the division chair and the review committee should work with the faculty member to improve performance during that time. If the post-tenure review process is to achieve its purposes, efforts must be made at this point in the process to assist the faculty member in remedying perceived deficiencies. At the end of the specified time, both the division chair and the peer review committee should again review the performance. If they again find that performance is "substantially below the goals and expectations of the unit," they can ask the dean to initiate special review according to Section 7a.3 of the Regents Policy *Faculty Tenure*. To do so, they should send a letter or memorandum to the dean and to the faculty member, setting out their findings with a copy of the documents they have reviewed.

APPENDIX A

Annual Review of Probationary Faculty

7.2 Annual Review. The tenured faculty [7] of each academic unit annually reviews the progress of each probationary faculty member toward satisfaction of the criteria for receiving tenure. The head of the unit prepares a written summary of that review and discusses the candidate's progress with the candidate, giving a copy of the report to the candidate.

APPENDIX B

General Criteria for Tenure

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 [FN2] This determination is reached through a qualitative evaluation of the candidate's record of scholarly research or other creative work, teaching, and service [FN3]. The relative importance of these criteria may vary in different academic units, but each of the criteria must be considered in every decision [FN4]. 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.

[FN2]"Academic achievement" includes teaching as well as scholarly research and other creative work. The definition and relative weight of the factors may vary with the mission of the individual campus.

[FN3]The persons responsible and the process for making this determination are described in subsections 7.3 through 7.6.

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

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

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

"Service" may be professional or institutional. Professional service, based on one's academic expertise, is that provided to the profession, to the University, or to the local, state, national, or international community. Institutional service may be administrative, committee, and related contributions to one's department or college, or the University. All faculty members are expected to engage in service activities, but only modest institutional service should be expected of probationary faculty.

[FN4] Indefinite tenure may be granted at any time the candidate has satisfied the requirements. A probationary appointment must be terminated when the appointee fails to satisfy the criteria in the last year of probationary service and may be terminated earlier if the appointee is not making satisfactory progress within that period toward meeting the criteria.

APPENDIX C

Promotion to Professor

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 [FN7]. This determination is reached through a qualitative evaluation of the candidate's record of scholarly research or other creative work, teaching, and service [FN8]. 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.

[FN7] "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.

[FN8] 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 D

Section 7a. Review Of Faculty Performance

7a.1. Goals And Expectations. The faculty of each academic unit must establish goals and expectations for all faculty members, including goals and expectations regarding teaching, scholarly productivity, and contributions to the service and outreach functions of the unit. The factors to be considered will parallel those used by the unit in the granting of tenure, but will take into account the different stages of professional development of faculty. The goals and expectations will be established in accordance with standards established by the University Senate. They can provide for flexibility, so that some faculty members can contribute more heavily to the accomplishment of one mission of the unit and others to the accomplishment of other missions. The goals and expectations shall not violate the individual faculty member's academic freedom in instruction or in the selection of topics or methods for research. They shall include reasonable indices of acceptable performance in each of the areas (e.g., teaching contributions and evaluations, scholarly productivity, service, governance and outreach activities). The dean reviews the goals and expectations of each unit and may request changes to meet the standards of the University and of the collegiate unit.

7a.2. Annual Review. Each academic unit, through its merit review process (established in accordance with the standards adopted by the senate), annually reviews with each faculty member the performance of that faculty member in light of the goals and expectations of the academic unit established under section 7a.1. This review is used for salary adjustment and faculty development. The faculty member will be advised of the evaluation and, if appropriate, of any steps that should be taken to improve performance and will be provided assistance in that effort. If the head of the unit and a peer merit review committee elected for annual merit review within that unit both find a faculty member's performance to be substantially below the goals and expectations adopted by that unit, they shall advise the faculty member in writing, including suggestions for improving performance, and establish a time period (of at least one year) within which improvement should be demonstrated.

7a.3. Special Peer Review In Cases Of Alleged Substandard Performance By Tenured Faculty. If, at the end of the time period for improvement described in the previous paragraph, a tenured faculty member's performance continues to be substantially below the goals and expectations of the unit and there has not been a sufficient improvement of performance, the head of the academic unit and the elected peer merit review committee may jointly request the dean to initiate a special peer review of that faculty member. Before doing so, the dean shall independently review the file to determine that special peer review is warranted. (in the case of an academic unit that is also a collegiate unit, the request shall be made to and the review conducted by the responsible senior academic administrator.) The special peer review shall be conducted by a panel of five tenured faculty members of equal or higher rank, selected to review that individual. The faculty member under review shall have the option to appoint one member. The remaining members shall be elected by secret ballot by the tenured faculty of the unit. The members of the special review panel need not be members of the academic unit. The special review panel shall provide adequate opportunity for the faculty member to participate in the review process and shall consider alternative measures that would assist the faculty member to improve performance. The tenure subcommittee may adopt rules and procedures regulating the conduct of such reviews. The special review panel shall prepare a report on the teaching, scholarship, service, governance, and (when appropriate) outreach performance of the faculty member. It will also identify any supporting service or accommodation that the University should provide to enable the faculty member to improve performance. Depending on its findings, the panel may recommend:

- * (a) that the performance is adequate to meet standards and that the review be concluded;
- * (b) that the allocation of the faculty member's expected effort among the teaching, research, service and governance functions of the unit be altered in light of the faculty member's strengths and interests so as to maximize the faculty member's contribution to the mission of the University;
- * (c) that the faculty member undertake specified steps to improve performance, subject only to future regular annual reviews as provided in Section 7a.2;
- * (d) that the faculty member undertake specified steps to improve performance subject to a subsequent special review under Section 7a.3, to be conducted at a specified future time;
- * (e) that the faculty member's performance is so inadequate as to justify limited reductions of salary, as provided in Section 7a.4;
- * (f) that the faculty member's performance is so inadequate that the dean should commence formal proceedings for termination or involuntary leave of absence as provided in Sections 10 and 14; or
- * (g) some combination of these measures. The panel will send its report to the dean, the head of the academic unit, and the faculty member. Within 30 work days of receiving the report, the faculty member may appeal to the Judicial Committee, which shall review the report in a manner analogous to the review of tenure decisions (see Section 7.7).

7a.4. Salary Reductions. If the special review panel recommends that the faculty member's performance is so inadequate as to justify limited reductions of recurring salary, the head of the academic unit, with the approval of the dean, may reduce the faculty member's recurring pay, subject to the following limitations:

- * (a) the amount of the decrease will not exceed 10% of the faculty member's recurring salary on the basis of any one special review;
- * (b) recurring salary may not be reduced by more than 25% from the highest level of recurring pay ever held by the faculty member;
- * (c) at least six months' notice of the decrease must be given;
- * (d) any decrease in recurring salary may be restored by the annual review process provided in Section 7a.2. Within 30 work days of notice of the decrease, the faculty member may appeal this action to the Judicial Committee, which shall review the action and the recommendation leading to it in a manner analogous to the review of tenure decisions (see Section 7.7). This review may not reconsider matters already decided by the Judicial Committee under Section 7a.3. Any decrease in recurring pay beyond the limits specified in this subsection can only be imposed pursuant to Sections 4.5, 10, 11, and 14.

7a.5. Peer Review Option. Upon application to it by the dean and faculty (or the elected faculty assembly) of a collegiate unit, the Faculty Senate may adopt a system of peer review of performance of faculty of that unit different from the system set forth in Sections 7a.1 through 7a.4 if in the Faculty Senate's judgment so proceeding is in the University's interest.

APPENDIX E

Unit Statement

7.12 Departmental Statement. [FN5] 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); (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”); and (3) the goals and expectations to be used in evaluating faculty members’ performance under subsection 7a (“Review of the Performance of Faculty Members”). The document must contain 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. [INTERP 3]

[FN5] “Departmental” refers to an academic department or its equivalent, such as a division, institute, or unit.

APPENDIX F

Extending the Probationary Period

5.5 Extension Of Maximum Probationary Period For New Parent Or Caregiver, Or For Personal Medical Reasons.

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

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

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

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

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

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

The notification of birth or adoption/foster placement for provision (a) and the request for extension for provisions (b) and (c) in this subsection must be made in writing within one year of the events giving rise to the claim and no later than June 30 preceding the year a final decision would otherwise be made on an appointment with indefinite tenure for that faculty member.

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