

TO: Chancellors and Twin Cities Deans

FROM: Rebecca Ropers, Vice Provost for Faculty and Academic Affairs

DATE: December 5, 2022

SUBJECT: Annual Appraisals of Probationary Faculty, Non-reappointment Recommendations;  
Promotional Appraisals of Tenured Associate Professors

I write to remind you of the expectations that the University has for the review of tenure-track and tenured faculty members.

## Review of Probationary Faculty

The progress of each probationary faculty member must be reviewed annually by the tenured faculty of the tenure-initiating unit. Please use the newly revised [University of Minnesota Form 12](#) (Appraisals of Probationary Faculty, UM 12) for documenting this review.

Annual appraisals must be conducted using the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty*: <http://z.umn.edu/procedures>. Guidelines for the overall review are found in Section II.E. Section II.F.4 provides information about preparation of the candidate's tenure file.

The unit head is responsible for informing each probationary faculty member of the recommendation made concerning continuation of appointment and for advising probationary faculty annually on their progress and growth.

## Guidelines for Reviewing and Documenting the Effects of Pandemic

The University anticipates an ongoing need for impact statements since the negative effects of the pandemic are likely to persist and/or present themselves in future years. We encourage colleges and academic units to consult the following documents to guide review processes and for documenting the effects of the pandemic:

- [Use of Impact Statements in Faculty Review](#)
- [Guidance for Submitting Impact Statements](#)
- [Faculty Evaluation Guidance](#)
- [Frequently Asked Questions - Extension of the Probationary Period for Tenure Track Faculty](#)

As described in these documents, academic units must invite faculty members to submit an impact statement if they wish. If a faculty member submits an impact statement, units must describe how the statement was considered in the faculty member's evaluation.

## **Deadline for Non-reappointment Recommendations**

Please let me know as early as possible if you are recommending non-reappointment of a probationary faculty member. Recommendations for non-reappointment prior to the mandatory decision year must follow the same process as those for promotion and tenure decisions. That is, after a faculty vote in the unit, the file must be sent to the collegiate promotion and tenure committee for their evaluation, followed by a review and recommendation from the dean's/chancellor's office. The final dossier must be sent to the Executive Vice President and Provost by March 31, 2023, to ensure time for central review.

Please consult the Board of Regents policy Faculty Tenure, section 6.22 with respect to deadlines for non-reappointment of tenure-track instructor appointments (9404). For instructor appointments of the maximum two years, notice of non-reappointment must be given no later than December 15 of the second probationary year.

## **Promotional Reviews of Associate Professors**

Section II.A. of the Faculty Tenure Procedures states:

No less frequently than every four years, the unit's tenured faculty at the rank of professor shall review the progress toward promotion of each associate professor with tenure. This review will provide associate professors with feedback about their progress towards meeting the criteria in subsection 9.2 of Faculty Tenure and in the unit 7.12 statement. The four-year review of tenured associate professors must be reported in writing by the unit head. The associate professor meets with the unit head to discuss the review and signs the report of the review to acknowledge that the review took place.

We do not require that the forms (Form 13) documenting these evaluations be submitted to the Provost's Office. Instead, please keep record of the completion of these reviews in the Dean's Office.

## **Deadlines for Receipt of UM Form 12s**

Probationary faculty being non-reappointed	March 31, 2023
Probationary faculty being continued in rank; All colleges except health sciences	June 23, 2023
Health sciences colleges	September 1, 2023

Send UM Form 12s electronically to Jaclyn Adair at [berg1282@umn.edu](mailto:berg1282@umn.edu). She is the primary contact. Any additional questions you may have regarding faculty tenure policies and procedures may be directed to Ole Gram at [gram@umn.edu](mailto:gram@umn.edu).

As with everything this year, we understand the need for flexibility in meeting deadlines in these tasks and ask that you be in communication with Jaclyn Adair if you will need more time to complete these processes.

c: Rachel Croson, Executive Vice President and Provost  
Ken Horstman, Vice President for Human Resources