

DATE: April 10, 2023

TO: Chancellors and Twin Cities Deans

FROM: Rachel T.A. Croson, Executive Vice President and Provost

SUBJECT: **2023-2024 Schedule and Guidelines for Submission of Tenure, Promotion and Termination Recommendations: Tenure-Track and Tenured Faculty—Twin Cities, Crookston, Morris, Rochester**

This memo and its appendices include guidelines and deadlines for submission of materials by colleges/campuses for promotion and/or tenure reviews for tenured and tenure-track faculty. Colleges/campuses establish their own review processes and guidelines for term faculty (non-tenure track contract faculty/clinical faculty) and those files need not be forwarded to the executive vice president and provost for further review.

Guidelines and Processes for Promotion and/or Tenure Decisions

Outside Evaluation Letters

As stated in Section II.F.4., *Preparation of the file for tenure decisions*, of the [Procedures](#):

“Units may determine a minimum number of external appraisals that they require, but at least half, and no fewer than four, of the external reviews must be obtained from individuals with no direct professional or personal interest in the advancement of the candidate's career.”

Examples of reviewers that generally do not count as “arm’s length” include co-authors, co-PIs, past colleagues, editor of a special issue journal/book in which the candidate published, past mentor/advisor/postdoc supervisor, and past graduate school colleagues. We recognize that there may be unique circumstances where a co-author could be considered arm’s length (e.g. publications with large numbers of co-authors). Please consult with the Faculty and Academic Affairs office if you believe an exception to these guidelines is warranted, and before contacting external reviewers. Please consult this [guide for selecting arm’s length reviewers](#).

It is entirely acceptable to ask someone to evaluate a file if the person is the editor or serves on the editorial board of a journal in which the candidate published. It is similarly acceptable to ask someone to serve as an arm's-length reviewer if the reviewer and the candidate have presented on the same conference panel, have served on professional committees or review committees together, or have met at conferences or under similar circumstances.

Units must include a clear and concise statement of the relationship between the candidate and the reviewer in the list of reviewers submitted with the dossier (See *Appendix A*)

Effect of Pandemic on Promotion and Tenure Review Process

We recognize that the effect of the pandemic may continue to have lingering effects on junior faculty who held a probationary appointment during the pandemic. On April 1, 2020, the probationary period for all tenure-track faculty was extended by one year. Additional extensions are possible for those who have experienced continued and significant effects of the pandemic on their scholarly productivity.

External reviewers should be informed about how to consider extensions of the tenure clock in their evaluations. Please see these instructions for providing [guidance to external reviewers](#).

All faculty must be invited, but not required, to submit impact statements as part of their review process. Please review the [guidance on developing and using impact statements](#) as you enact this new aspect of the review process.

Contract (Term) Faculty Promotions

Each college must maintain its own set of guidelines and criteria for the review of promotions of contract faculty (94xx job codes). The executive vice president and provost will present the recommendations for contract faculty promotions to the Board of Regents at its meeting in May, 2024. Colleges and campuses must provide Jaclyn Adair (berg1282@umn.edu) with a list of contract faculty promotions by their unit's submission deadline (see *Appendix C*).

Disseminating the Correct 7.12 Statement to the Unit Voting Faculty and the Collegiate or Campus P&T Committee

In departments with newly approved 7.12 statements, assistant and associate professors will have been given a choice of using the new or old version of the unit 7.12 statement as the set of criteria for review. Be sure to include in the dossier the correct 7.12 statement that was chosen by the candidate. If you have questions concerning the correct 7.12 statement, please contact Ole Gram (gram@umn.edu).

Additionally, provide the candidate, voting faculty, and collegiate/campus P & T committee copies of the tenure regulations. The Board of Regents Policy on *Faculty Tenure* and the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty* are available at: <http://policy.umn.edu/hr/tenure>

Dissemination of Reviews and Reports to the Candidate and the Voting Faculty

Candidates may view their dossier at any time during the review process, including reading external reviews as they are added to the file. Please recall that the report of the department discussion of each candidate for tenure and/or promotion, whether it is written by the chair or head or another designated tenured faculty member, must be distributed to the eligible voting faculty for their review before it is forwarded to the dean or chancellor (see section 7.4 (e) of the [Faculty Tenure](#) Policy).

Voting and Reporting the Unit Vote

Attendance and participation at tenure and promotion meetings are essential obligations of the members of the tenured faculty. Proxy votes, telephone votes, fax votes, and email votes are not permitted. Units are strongly encouraged to use the University's confidential electronic voting system, vote.umn.edu. Contact Jaclyn Adair (berg1282@umn.edu) for access and more information.

Please remind unit faculty that abstentions are strongly discouraged and will be considered an indication of lack of support for the candidate by those abstaining.

The unit report must contain a summary of the substance of the comments made during the unit discussion to provide context for interpreting the result of the unit vote.

Handling Additions to the Dossier by the Candidate or Others

Faculty undergoing review for tenure and/or promotion may add relevant materials to their dossier prior to the decision made by the executive vice president and provost, including after the departmental/unit vote, the recommendation of the chair/head, the recommendation of the collegiate/campus meeting, and the recommendation of the dean/chancellor (see: [Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track or Tenured Faculty](#))

Once the candidate has received copies of reviews and/or recommendations, the candidate may comment in writing to those who will review the matter further (Section 7.61). Units and colleges/campuses must provide adequate time for candidates to respond, particularly to a negative or split vote of the faculty of a unit or college/campus or negative recommendations from chairs, heads, and deans. If a response is likely to delay the review process at a given stage, the candidate should be advised about the opportunity to submit a response at the next level of review. There should be adequate time for the next level of review to consider the candidate's response.

In keeping with the guiding principle of the *Faculty Tenure* policy, there must be a good-faith effort to gather all relevant information necessary to make the tenure and/or promotion decision; relevant information must not be excluded from the file. Material added to the dossier at the unit or collegiate level (e.g. candidate's responses to comments from external reviewers or unit reports, letters from faculty, etc.) after submission to the provost, will be placed in the supplementary material section with the date it was added.

Communication of Promotion and/or Tenure Decisions

After the final collegiate/campus recommendation regarding promotion and/or tenure (P & T) has been made, please follow these steps for submitting your materials:

1. A folder will be created for each college or campus in Google Drive that will be shared with the P & T coordinators. The coordinator will receive a link to the folder from Jaclyn Adair where they should upload the complete candidate dossiers by their unit's submission deadline (see *Appendix C*).
2. Material submitted after the collegiate/campus submission deadline should be dated and emailed directly to Jaclyn Adair no later than April 5, 2024. Please contact Jaclyn Adair should the need arise for adding relevant material past this deadline.

Recommendation for Termination of Appointment

Termination in Mandatory Decision Year

Recommendations for termination of tenure-track faculty in their mandatory decision year must follow the same process as those for tenure and promotion. That is, after a faculty vote in the unit, the dossier must be forwarded for second-level college/campus review followed by a review and recommendation by the executive vice president and provost.

Early Termination prior to Mandatory Decision Year

Please note that recommendations for termination of probationary faculty appointments prior to the mandatory decision year also require second-level and provostal review. **Early termination recommendations from colleges/campuses must be received by March 29, 2024.** Please consult section [II.F. of the Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty](#) for information about the procedures related to early terminations.

Contracts for Candidates Who Have Not Obtained Citizenship or Permanent Residency in the U.S.

Faculty members holding a non-immigrant visa status must have obtained citizenship or permanent residency before tenure can be conferred by the Board of Regents. The University has developed a special contract and release that allows the conferral of tenure to faculty holding a non-immigrant visa status. The contract protects a faculty member's tenured status while holding a non-immigrant work visa and it commits the University to maintaining a tenured faculty member as an employee on an unpaid leave of absence for up to one year should anything adverse affect the candidate's visa status.

If any of the candidates recommended for tenure in your college anticipate a delay in the processing of their permanent resident visa, they should be encouraged to complete this contract. Please contact Ole Gram, gram@umn.edu for information.

Appointment of New Faculty Members with Tenure

As far as possible, a complete tenure review should be completed prior to the appointment/start date of new faculty offered appointments with tenure. Appointment letters must specify that any tenured

appointment that has not been approved by the Board of Regents is contingent upon regental approval. The executive vice president and provost will present recommendations for tenure of new faculty to the Board of Regents at its meeting in June, 2024 or subsequent meetings. Please consult the *Procedures* for additional information about appointments of new faculty members with tenure: <https://policy.umn.edu/hr/tenure-proc01#V>

Review of Internal Appointments Recommended for Tenure

Tenure files for current employees of the University being considered for tenured positions in the University follow the same guidelines as those described in the tenure regulations and this memorandum. Such files follow the same review schedule as other P&T cases.

Recommendation to the Board of Regents

The executive vice president and provost makes final recommendations on faculty tenure, promotion, or non-reappointment for all units on the Twin Cities Campus and for the Crookston, Morris, and Rochester campuses. The provost will present the recommendations for tenure and/or promotion, including those for the Duluth campus, to the Board of Regents at its meeting in May, 2024. This presentation includes individuals who are contract faculty as well as academic professionals with continuous appointments.

The primary contact person for transmissions of all P&T material to the Provost's Office is Jaclyn Adair (berg1282@umn.edu). Policy and procedural questions may be directed to Ole Gram (gram@umn.edu).

c: Ken Horstman, Vice President for Human Resources
Brian Steeves, Executive Director and Corporate Secretary, Board of Regents
Penny Edgell, Professor and Faculty Associate for Evaluation, Faculty and Academic Affairs

APPENDIX A

Electronic Dossier Format for Submission

Each candidate's dossier should be one single PDF with bookmarks. Label each individual's dossier with his or her college, name, and decision in the title, e.g. "CLA_Smith_Associate with tenure" or "Design_Jones_Full Professor."

The P&T coordinator should upload the complete candidate dossiers by their unit's submission deadline via their college/campus folder in Google Drive. Files can be uploaded and shared before the deadline.

For instructions on creating and nesting bookmarks in Adobe Acrobat Pro, [watch this video](#).

The PDF should include the following bookmarked sections:

- **7.12 Statement**
 - (Faculty who were hired or tenured while an older 7.12 statement was in effect will have had the choice to elect which 7.12 statement they wish to use as the set of criteria for the review. Make certain to include the correct, approved 7.12 statement).
- **Dossier Cover Sheet** (See *Appendix B1* and *Appendix B2*)
- **Table of Contents**
- **Curriculum Vitae**
 - The candidate should use the standardized University of Minnesota CV template generated in *Works* [works.umn.edu] or the template available at [\[http://z.umn.edu/mastercv\]](http://z.umn.edu/mastercv) called "Master Curriculum Vitae for Promotion and Tenure."
- **Teaching**
 - Teaching narrative
 - List of courses taught
 - Teaching evaluation data/summary
 - Peer reviews of teaching
 - Other pertinent information such as advising, student feedback, etc.
- **Research**
 - Research narrative
 - Other pertinent information required by the department and college such as relative stature of publications, evidence of forthcoming work etc.
- **External Reviews**
 - List of reviewers, their qualifications, and their relationship to the candidate
 - Sample letter sent to reviewers
 - Letters from reviewers
- **Service**
 - Service narrative
- **Impact Statement** (if included with dossier)
- **Annual Appraisals** (probationary faculty only)

- Copies of signed Form 12s from the year of hire through 2022-2023
It is not necessary to include a Form 12 for the academic year in which a decision regarding tenure and promotion is made (2023-2024).
- **Reports**
 - Unit evaluation
 - Letter from chair or head (must be separate from the unit evaluation)
 - Collegiate/campus committee review report
 - Dean/chancellor's letter
 - **Assurance Page** (if required by the college/campus)
- **Supplementary Material** (if added by the candidate or other faculty during the review process)

Other supplementary materials (such as journal articles, book manuscripts) need not be included in the electronic dossier for central review.

Units can make some variation in the format above as long as it is clear from the bookmark names what they contain. Pagination is optional unless required by the college/campus.

APPENDIX B1
2023-24 Recommendations
Tenure & Promotion to Associate Professor
(Probationary Assistant to Associate Professor with Tenure or
Probationary Associate to Associate Professor with Tenure)

Candidate Name:
Candidate Email:
Campus Mailing Address:

Unit Name:
College/Campus Name:
Unit Chair/Head Name:
Unit Chair/Head Email:

UMN Faculty Appointment Information

Current Rank: _____ Effective date: _____
Current Appt. Type: Tenure-track
Previous Rank/Appt. Type: _____ Effective date: _____

Proposed Rank: _____ **Proposed Appointment Type:** Tenured

UMN Probationary Service (as calculated on UM Form 12)

Prior Service Credit: _____ years
Extension/s of probationary period: _____ years
UMN probationary service (including 2023-2024): _____ years

Voting Information (Fill in with total numbers voting in each category)

	Unit Tenure and/or Promotion Vote	Unit Head Recommendation	College/Campus P&T Committee Tenure and/or Promotion Vote	Dean/Chancellor Recommendation
Yes				
No				
Abstain				
Not voting				
Notes:				

APPENDIX B2
2023-24 Recommendations
Promotion to Professor Only (Tenured)

Candidate Name:
Candidate Email:
Campus Mailing Address:

Unit Name:
College/Campus Name:
Unit Chair/Head Name:
Unit Chair/Head Email:

UMN Faculty Appointment Information

Current Rank: _____ Effective date: _____

Current Appt. Type: Tenured

Previous Rank/Appt. Type: _____ Effective date: _____

Proposed Rank: _____ **Proposed Appt. Type:** Tenured

Time in rank at another institution (if applicable): _____ years

Total years in rank (including 2023-2024): _____ years

Voting Information (Fill in with total numbers voting in each category)

	Unit Promotion Vote	Unit Head Recommendation	College/Campus P&T Committee Promotion Vote	Dean/Chancellor Recommendation
Yes				
No				
Abstain				
Not voting				
Notes:				

APPENDIX C
Deadlines for Submission of Materials for 2023-2024

P & T Dossiers

Carlson School of Management
Center for Allied Health Programs
Humphrey School of Public Affairs
Law School
Rochester Campus
School of Nursing
School of Public Health

January 16, 2024

College of Biological Sciences
College of Design
College of Education and Human Development
College of Food, Agricultural, & Natural Resource Sciences

January 30, 2024

College of Liberal Arts
College of Science and Engineering
Crookston Campus
Morris Campus

February 6, 2024

College of Pharmacy
College of Veterinary Medicine
Medical School
School of Dentistry

February 13, 2024

Duluth Campus

March 19, 2024

Other Important Deadlines

Early Termination Recommendations

March 29, 2024

Deadline for submission of supplementary material
including additions by the candidate

April 5, 2024

Tenure and/or promotion recommendations presented
to the Board of Regents

May 9, 2024*

*date subject to change