



# SCHOOL OF NURSING

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UNIVERSITY OF MINNESOTA

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## **Tenured and Tenure Track Faculty Promotion & Tenure Handbook**

Revised April 2023

*Approved by School of Nursing: May 26, 2023 (Tenured/Tenure Track Faculty)  
Approved by Executive Vice President and Provost: July 6, 2023 (minor revisions)  
Minor revisions to clarify faculty-approved document, October 2023*

*Revision History:*

*Approved by School of Nursing: February 22, 2016 (Tenured/Tenure Track Faculty)  
Approved by Executive Vice President and Provost: March 21, 2016  
Approved by School of Nursing: May 28, 2019 (Tenured/Tenure Track Faculty)  
Approved by Executive Vice President and Provost: July 26, 2019 (minor revisions)  
Formatting Changes made September 2021 (No substantive changes were made)*

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## Faculty Tenure Section 7.12 School of Nursing

### 1.0. Introduction

This document describes the criteria and procedures to be used to evaluate candidates for appointment, continuation, promotion, and tenure for tenured and tenure track faculty in the School of Nursing as specified in subsection 7.11 (General Criteria) and subsection 9.2 (Criteria for Promotion to Professor) of the *Board of Regents Policy: Faculty Tenure*. In accordance with Section 7a. (Review of Faculty Performance), it also describes post-tenure goals, performance expectations, and procedures for annual review. The Procedures and Guidance section lists procedures assuring School of Nursing compliance with the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-track and Tenured Faculty*. The [Board of Regents Policy: Faculty Tenure](#) and the [Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-track and Tenured Faculty](#) provide a complete overview of the promotion and tenure process at the University of Minnesota.

All tenured faculty members are expected to participate fully in tenure and promotion reviews, including reviews of probationary and clinical faculty. Full participation includes reading dossiers, participating in the review session (unless compelling circumstances prevent participation), and voting.

### 2.0 Vision, Mission, and Values

The School of Nursing's vision is a world where nurses lead collaborative efforts to attain optimal health for all people.

Flowing from this vision, the mission of the School of Nursing is to generate knowledge and prepare nurse leaders who will create, lead, and participate in holistic efforts to improve the health of all people within the context of their environments.

Performing at the highest academic and professional standards is paramount to contributing effectively as a faculty member. In addition to achievements with regard to criteria for faculty ranks in areas of research, teaching, and service; attention and weight are given to faculty contributions in areas of inclusivity, diversity, equity, and social justice; interdisciplinary collaboration, professional ethics, and respectful culture; and public engagement.

***Inclusivity, Diversity, Equity, and Social Justice.*** School of Nursing faculty embrace values of inclusivity, diversity, equity, and social justice, with the goal of leveraging their transformative power to advance excellence in research, teaching, and community engagement. Among the School of Nursing faculty, inclusivity, diversity, equity, and social justice are inherently intertwined with academic excellence and the development of leaders for a globally inclusive society. We strive to make plurality central to our work and are committed to building on existing anti-oppressive policies, practices, and pedagogies, and learning from the experiences of historically marginalized populations.

**Interdisciplinary Collaboration.** Understanding that health and the determinants of health are beyond the purview of any one discipline, the School of Nursing values and seeks collaboration with colleagues in other disciplines and fields in fulfilling our research, teaching, and service missions.

**Professional Ethics and Respectful Culture.** In carrying out the institution's research, teaching, and service missions, School of Nursing faculty are dedicated to advancing the University's core values as articulated in the [Board of Regents Policy: Code of Conduct](#). Tenured and tenure-track faculty strive to be effective scholars and teachers, and recognize their rights and responsibilities in maintaining academic freedom within the context of a university, consistent with the [Statement on Professional Ethics](#) articulated by the American Association of University Professors. The School of Nursing values respectful discourse among faculty colleagues and invites open discourse with students while providing respectful, effective, and professional mentoring and guidance to students and fostering honest academic conduct.

**Public Engagement.** The School of Nursing values publicly-engaged scholarship that combines research, teaching, and service in projects that involve community stakeholders as co-creators and collaborators, generally with the goal of developing useful knowledge for innovations in community practices, public policies, or social or economic change. Public engagement may involve disciplinary and/or interdisciplinary work, but research, teaching, and service complement and mutually inform one another in one planful picture.

### 3.0 Criteria for Appointment, Tenure, and Promotion

#### 3.1 Regents Policy: Faculty Tenure

##### 3.1.1 General Criteria for Tenure (Section 7.11.)

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 <sup>1</sup>[FN 2]. This determination is reached through a qualitative evaluation of the candidate's record of scholarly research or other creative work, teaching, and service <sup>2</sup>[FN 3].

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<sup>1</sup>[FN 2] "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.

<sup>2</sup>[FN 3] 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



The relative importance of these criteria may vary in different academic units, but each of the criteria must be considered in every decision <sup>3</sup>[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 their achieving promotion to professor.

### **3.1.2 Criteria for Promotion to Professor (Section 9.2.)**

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 <sup>4</sup>[FN 7]. This determination is reached through a qualitative evaluation of the candidate's record of scholarly research or other creative work, teaching, and service <sup>5</sup>[FN 8]. 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.

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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.

<sup>3</sup>[FN 4] 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.

<sup>4</sup>[FN 7] "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.

<sup>5</sup>[FN 8] 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 subsection 7.4 for the granting of indefinite tenure, the nondisclosure of grounds for the decision (subsection 7.5), and the review of recommendations (subsection 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 subsection 7.7 for decisions about promotion to associate professor and conferral of indefinite tenure.

### 3.2 School of Nursing Criteria

Criteria for appointment, tenure, and promotion for each rank in the domains of research, teaching, and service are listed in Tables 1-3, respectively. As per University of Minnesota guidelines, a formal vote of the tenured/tenure track faculty is not required for appointment of a new faculty person to the tenure track. However, a formal vote of the tenured faculty is required for appointment of a new faculty for a tenured position (detailed in Section 5.2). Candidates for tenure and/or promotion are expected to fulfill criteria shown for each of the research, teaching, and service domains. Interdisciplinary and/or interprofessional collaboration and public engagement are incorporated into the criteria. In each domain, exemplars for each criterion constitute suggested types of evidence that candidates may use to demonstrate records of accomplishment distinguished by conspicuous excellence in quality, productivity, visibility, and continued promise.

### 4.0. Annual Review of Probationary Faculty

Probationary faculty members are reviewed every academic year by the tenured faculty as a whole, using the criteria shown in Tables 1-3. See Appendix E for timeline. These annual reviews are informed by feedback and recommendations candidates received from prior years that have been documented on UMN Form 12. The review is based on the *General Criteria for Tenure* (Section 7.11), the School of Nursing criteria listed in Tables 1-3 in accord with Section 7.12 (*Departmental Statement*), and documentation submitted by the faculty member under review (Appendix A). Materials reviewed include:

- a) Summary statements of accomplishments in research, teaching, and service (see Appendix G for description) with **annual calendar year** activities highlighted;
- b) a brief statement (up to one page) that synthesizes work across the missions (See Appendix G for description)
- c) evidence of teaching ability (see Appendix G for description);
  - summary table of student rating of teaching and course(s) (SRT)
  - peer teaching evaluation(s)
- d) % effort allotted to each mission by semester;
- e) a current curriculum vitae (CV) formatted using UMN standard template (Appendix C)
  - highlight activities completed the previous calendar year
- f) goals for the next calendar year;
- g) a response to the prior year's FAPTEC evaluation (for faculty in probationary years 2-5).

In accord with School of Nursing Bylaws, the annual review process for probationary faculty is coordinated by the Faculty Appointment, Promotion, and Tenure Evaluation Committee (FAPTEC) and approved by the tenured faculty as a whole.

Following the annual review of probationary faculty members by the tenured faculty, FAPTEC will finalize a written summary report to be reviewed and approved by the tenured faculty. This report will state any concerns of the tenured faculty regarding the candidate's progress toward tenure and will provide guidance for addressing any weaknesses that have been noted. The cooperative unit chair, as delegated by the dean, will discuss with each candidate their

progress toward achieving tenure based on the annual review by tenured faculty. The cooperative unit chair will also report to the candidate the sense of the meeting of the tenured faculty, including any recommendations and areas in which performance needs to be improved. The candidate will be given a copy of the Annual Review of Probationary Faculty report (UMN Form 12), which includes the written summary from FAPTEC.

The Form 12, including the written summary, is signed by the candidate, the cooperative unit chair, and the dean of the School of Nursing, who forwards it to the University Executive Vice President and Provost. Procedures for annual review of probationary faculty and formats for submitting documentation and evidence are outlined and detailed in the Procedures and Guidelines section of this document.

## **5.0 Criteria for Conferral of Indefinite Tenure**

Faculty members are expected to demonstrate integration of the three missions: research, teaching, and service, which may include practice. The criteria for tenure for these three areas are the same as those for promotion to associate professor, presented in Tables 1-3.

### **5.1 Extension of Probationary Period**

Under conditions described in Section 5.5 of the *Board of Regents Policy: Faculty Tenure*, upon written request of a probationary faculty member, the maximum period of probationary service may be extended by one year at a time for each request for conditions which include: the birth of that faculty member's child or adoptive/foster placement of a child with that faculty member (requires notification only); or when the faculty member is a major caregiver for a family member who has an extended serious illness, injury, or debilitating condition; or when the faculty member has an extended serious illness, injury, or debilitating condition (requires approval of request).

### **5.2 Tenure at Appointment**

The dean must have the vote of tenured faculty prior to offering a prospective faculty member an appointment with tenure. The applicant must provide the following documents to the search committee, who must make them available to the tenured faculty as the basis for their evaluation:

- a) at least three letters from external reviewers that address the faculty member's academic credentials if the faculty member has tenure at another academic institution, or a minimum of four letters if they have not yet received tenure at another academic institution. At least one of the external review letters should be from a nurse faculty at or above the rank of the prospective faculty's appointment. All letters must be from clearly arms-length reviewers (see Appendix G for definition). The faculty applicant will provide names and contact information for potential external reviewers to the Dean's Office, who will reach out to request external review letters. These letters should evaluate the applicant's accomplishments with respect to *General Criteria for Tenure* (Section 7.11) and School of Nursing criteria for tenure

- (Tables 1-3);
- b) copies of 2 or more scholarly works;
  - c) research, teaching, and service statements;
  - d) evidence of teaching ability (e.g., peer or student evaluations);
  - e) a current and complete CV that includes documentation of research/scholarship, teaching (including advisement and mentorship), and service;
  - f) a statement of the prospective faculty member's vision for nursing and how their work will contribute to it.

The candidate's hire is evaluated in the same way as with hire of non-tenured faculty. Following a recommendation to hire, the tenured faculty meet to discuss the case and vote as follows: (a) a vote to recommend tenure at appointment (tenured associate professors and professors vote); and (b) a vote to recommend rank of associate professor (tenured associate professors and professors vote) or professor (tenured professors vote). Results of the vote and a summary of the discussions are forwarded to the dean by dean's office staff and the FAPTEC chair, respectively.

Specific procedures for tenured hires are provided in the University of Minnesota *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty*.

## **6.0 Post-tenure Review**

### **6.1 Purpose**

A lively climate of engaged scholarship is essential to advance the scholarly interests and the tripartite mission of the School of Nursing and the University. Tenured faculty are leaders in these efforts by virtue of authority delegated to them within the University and arising from their accomplishments and experience as seasoned academicians. The purpose of post-tenure review is to affirm each tenured faculty member's continued engagement; or, when performance falls substantially short of minimal expectation, to create and implement a performance improvement plan.

### **6.2 Minimum Performance Expectations**

All tenured faculty members in the School of Nursing are expected to continue to make contributions according to their effort distribution between research/scholarship, teaching and service. A significant contribution is expected in areas in which the most effort is allocated. A tenured faculty member's effort and productivity should be viewed as a whole across the three areas of activity for the period under review, with substantial accomplishments in each area as outlined below.

School of Nursing post-tenure performance expectations reflect criteria for promotion to ranks of Associate or Full Professor (Tables 1-3). During the post-tenure period, the relative emphasis on the three missions of research, teaching, and service may vary from person to person and year to year.

Failure to submit annual merit review documents by the published deadline is a general failure to meet minimum performance expectations because no data relevant to the assessment are available. Minimum performance expectations related to service, research and teaching are noted below.

### **6.2.1 Scholarship/Research**

While the extent and nature of scholarly activity may vary over time, tenured faculty should report substantial accomplishments within two or more of the following categories over the course of two consecutive years of review:

- Evidence of grant submissions to support research efforts;
- An independent or active collaborative role in a research program or programs;
- Refereed or invited research presentation(s) at a scholarly conference or another academic institution;
- Publication of research in high quality venues;
- Mentoring students and/or other faculty in their research;
- Peer review of faculty grants and publications.

### **6.2.2 Teaching**

Tenured faculty are expected to remain effective teachers and to be actively engaged in communicating knowledge and in supervising, mentoring, or advising students. While the extent and nature of teaching activity may vary over time, tenured faculty should report substantial accomplishments within two or more of the following categories over the course of two consecutive years of review:

- Demonstrated effectiveness in teaching as evidenced by teaching innovations, student evaluations, and peer review of teaching;
- Publishing education focused manuscripts, textbooks, book chapters, case studies, or other learning aides;
- Effective contribution to the revision, development, implementation, and evaluation of a course and/or curriculum;
- Serve as PI or Co-I of an intramural or extramural education or training grant;
- Advising and mentoring students, residents, graduate students, and/or postdoctoral fellows.

### **6.2.3 Service**

Tenured faculty are expected to perform service within the department, the college and university, and in the discipline. While the extent and nature of service activity may vary over time, tenured faculty should report substantial accomplishments within two or more of the following categories over the course of two consecutive years of review:

- Active departmental, collegiate or University leadership or administration;
- Service or appointment on a standing or ad hoc committees of the school or University;
- Reviewing and/or editing scholarly articles, book manuscripts, and grant

- proposals;
- Serving on Journal editorial boards or grant review panels;
- Outreach activities related to the faculty member's scientific and professional expertise with clear benefit to the school or University;
- Service or leadership in a regional, national, or international professional organization.

### **6.3 Process**

The post-tenure review is conducted as part of the annual merit review process. The merit assessment documents completed by tenured faculty are submitted from the Dean's Office to the Faculty Appointment, Promotion, Tenure, and Evaluation Committee (FAPTEC). FAPTEC conducts the annual assessment of tenured faculty activity with respect to School of Nursing goals and minimum performance expectations listed in sections 6.2.1., 6.2.2., and 6.2.3., above, using the procedure outlined in the Procedures and Guidelines section of this document. After the Merit Subcommittee completes annual merit reviews, the FAPTEC chair will notify relevant cooperative chairs of any faculty who do not meet minimum performance expectations (e.g., receive a merit score of 1 based on criteria listed in sections 6.2.1., 6.2.2., and 6.2.3., above). Cooperative chairs will keep track of faculty who do not meet minimum performance expectations over two consecutive years and will implement a performance improvement plan process as described in sections V.A., V.B., and V.C.

### **7.0. Schedule of Revision**

FAPTEC shall conduct a systematic review of the 7.12 departmental statement at least once every three years. Requests for additional reviews of the 7.12 departmental statement may be sent to FAPTEC by faculty members with regular appointments, or by the dean. FAPTEC will propose any necessary revisions. These revisions will then be made available to the tenured/tenure track faculty, which will conduct a vote on the acceptability of the changes. If no changes are required, that fact will be reported to the tenured/tenure track faculty. Revisions approved by the tenured/tenure track faculty are then forwarded to the Dean and the Executive Vice President and Provost for their consideration. The dates of approvals of changes shall become part of the School of Nursing 7.12 Statement.

## Part Two: Procedures and Guidance

### I. Promotion and Tenure Handbook

The dean with consultation of the Faculty Appointment, Promotion, Tenure, and Evaluation Committee (FAPTEC) will prepare a Promotion and Tenure Handbook that includes:

- a) timelines and deadlines for all aspects of the tenure and promotion process;
- b) the current 7.12 statement;
- c) a UMN standard CV template (Appendix C).

The Handbook is updated annually and includes information about specific documentation required for tenure and promotion.

#### A. Probationary Faculty

##### 1. Mentoring Policy

A mentoring policy is in place to assist probationary faculty to be successful in progressing toward tenure. The faculty member is responsible for preparing a career development plan within 6 months of employment. The career development plan includes a 5-year research/scholarship plan, a teaching plan, and a service/practice plan. The plan is a written outline used to document and review alignment of career goals with promotion and tenure criteria and the mission of the School of Nursing. These plans will be reviewed with a mentoring team at least annually. A complete copy of the [Mentoring Policy for T/TT Faculty](#) is located in the School of Nursing Intranet.

##### 2. Annual Review of Probationary Faculty

###### a. Basis of Review

The criteria set forth in Tables 1-3 are used by the tenured faculty and administrators in evaluating the annual progress of a candidate and are consistent with the *Board of Regent's Policy: Faculty Tenure* and the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty*.

###### b. Information Sessions

Members of the School of Nursing FAPTEC who are associate and/or full professors conduct annual information sessions during fall semester about criteria and process for promotion and tenure of probationary faculty.

###### c. Materials Reviewed

In each annual review in years 1-5, probationary faculty submit a dossier that includes:

- a) Summary statements of accomplishments in research, teaching, and service (see Appendix G for description) with **annual calendar year** activities highlighted;
- b) a brief statement (up to one page) that synthesizes work across the missions (See Appendix G for description)
- c) evidence of teaching ability (see Appendix G for description);
  - a summary of student rating of teaching and course(s) (SRT)
  - peer teaching evaluation(s)
- d) % effort allotted to each mission by semester;
- e) a current curriculum vitae (CV) formatted using UMN standard template (Appendix C);
  - highlight activities completed the previous calendar year
- f) goals for the next calendar year;
- g) a response to the prior year's FAPTEC evaluation (for faculty in probationary years 2-5).

These materials shall be submitted for each annual continuation review for the immediate past calendar year and a cumulative review of the full probationary period for tenure and promotion to associate professor. It is highly recommended that all probationary faculty share their materials with their mentorship team for feedback prior to submission.

#### **d. Review Process**

Beginning with the first year of the probationary period, the Dean's Office will compile the candidate's file on a yearly basis. The probationary year is defined as the fiscal year (UM Form 12). Probationary faculty submit materials reflecting their achievements over the most recent calendar year, and for the full probationary period in the final year.

Each year, the Dean's Office will inform the candidate of the schedule for annual review (see Appendix E for timeline). The candidate will submit the items described in the procedures for annual probationary review documenting activities and progress towards tenure and promotion during the year under review. The Dean's Office will assemble the file and make it available for tenured faculty to review.

A meeting is set for review of probationary faculty by tenured faculty. Typically, votes for continuation are taken beginning in the third probationary year. Secure electronic ballots are used. In the decision year, votes are taken using secure electronic ballots upon recommendation for tenure and for promotion. Probationary faculty members are reviewed each year, even during the first and second probationary years.

For the faculty review session (annual and decision year), FAPTEC prepares and presents a written preliminary summary of the faculty member's file that is shared with tenured faculty for discussion. Following the discussion, FAPTEC revises the faculty member's summary including recommendations of the tenured faculty. The updated summary is made available for review by tenured faculty.



**e. UM Form 12**

The annual review summary of probationary faculty will be attached to the UM Form 12 and reflects the faculty member's performance relative to the 7.12 statement. If a faculty member has been approved to extend their probationary period, consistent with Section 5.5 of the *Board of Regents Policy: Faculty Tenure*, this must be noted on the Form 12. The cooperative unit chair will meet annually with each probationary faculty member to review the FAPTEC summary and sign the completed Form 12. The form is forwarded to the Dean for review, comment, and sign-off. The Form 12 is then forwarded to the Executive Vice President and Provost for review, comment, and sign-off. Once signed by all parties, the Form 12 will be kept in the probationary faculty member's tenure file and becomes a part of the dossier.

**B. Associate Professors****1. Mentoring Policy**

A mentoring policy is in place to assist associate professors to be successful in progressing toward promotion to full professor in a timely manner. The faculty member is responsible for preparing a career development plan within six months of promotion to the rank of associate professor. These plans will be reviewed and revised as needed in consultation with a mentoring team at least annually. Probationary faculty should get feedback and approval from their mentoring team on documents submitted for annual review and promotion.

**2. Expectation for Promotion**

The long-range goal is that associate professors will achieve the rank of full professor in a timely manner.

**3. Information Sessions**

In the fall of each year, members of FAPTEC who are full professors conduct annual information sessions about criteria and process for promotion of tenured associate professors to full professor rank.

**4. Quadrennial Review**

The progress of all associate professors toward promotion to professor shall be formally reviewed every four years, initiated by FAPTEC. Associate professors provide the following documents/information to the FAPTEC chair:

- a) a current CV;
- b) a one- to two-page Quadrennial Statement with a projected timeline and plan of activities for achieving promotion;
- c) the name of one full professor not on FAPTEC, ideally someone on their

- mentoring team, to serve on their quadrennial review committee;
- d) the name of a desired FAPTEC professor to serve on their quadrennial review committee.

A Quadrennial Committee (including the associate professor who is being reviewed, the full professor named by the associate professor, and a full professor who is also a member of FAPTEC) meets to review progress and discuss recommendations. The full professor who is a member of the FAPTEC drafts the summary for the UM Form 13. The Quadrennial Statement (amended if needed) is signed by all members of the Quadrennial Committee, sent to the FAPTEC chair, and made available to the full professors.

The full professors annually review the progress of all associate professors who have had a quadrennial review towards promotion (April meeting). After progress is reviewed by the full professors, the Quadrennial Statement and the unit appraisal summary form (UM Form 13: Promotional Review of Tenured Associate Professors) are forwarded to the cooperative unit chair, who discusses and reviews the statement with the associate professor being reviewed. In instances when the cooperative unit chair has not participated in the full professors' review session, the FAPTEC chair will meet with the associate professor following the full professors' meeting to discuss the review with the individual being reviewed. The Quadrennial Statement and the unit appraisal summary Form 13 are signed and dated by the cooperative chair and the associate professor to document the review. Once signed by all parties, the UM Form 13 will be kept in the associate professor's file in the Dean's office. Copies of the completed forms are provided to the faculty member and filed in the faculty member's file in the cooperative office.

Two important notes regarding the Quadrennial Review: (a) this review is oriented toward supportive guidance and counseling about promotion; and (b) there is no penalty for failing to move toward or achieve promotion according to the projected timeline; in particular, not being promoted to the rank of professor will not in itself result in special post-tenure review of a tenured associate professor (*Board of Regents Policy: Tenure*, Section 9.2 <sup>6</sup>[FN7]).

## 5. Decision to Conduct a Review of Promotion Readiness

Associate professors may request a meeting with full professors to discuss promotion readiness. When an associate professor desires to seek promotion to full professor rank (self-nominates) or is nominated for promotion, the FAPTEC Chair and members at full professor rank are notified and the FAPTEC Chair is provided with (a) a current CV, (b) current research, teaching, service, and synthesizing statements from the potential candidate with accomplishments related to achievement of criteria for the rank of full

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<sup>6</sup>[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.

professor highlighted, and (c) a nominator's statement (if relevant). Consistent with University of Minnesota *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty*, a quorum of full professors meets in closed session to determine whether to support the associate professor's progression with promotion, using regular voting rules as provided in Section III.A., below. A majority vote constitutes a recommendation to progress with promotion. Feedback from full professors will be provided to the associate professor being reviewed. Ultimately, the decision about whether and when to move forward with promotion is up to the associate professor being reviewed. The FAPTEC Chair informs the dean of the decision and rationale. The decision may be appealed with a letter to the Dean and Provost if the nominee perceives the process was unjust.

## **II. Promotion and Tenure Reviews**

Procedural information in this section applies to reviews for (a) promotion from assistant professor to associate professor with tenure; (b) tenure with or without promotion to professor, for associate professors appointed without tenure; and (c) promotion from associate professor with tenure to professor.

### **A. Promotion and Tenure**

Promotion to the rank of associate professor is based upon professional distinction in research, demonstrated effectiveness in teaching and advising students, and, where relevant, in discipline-related service. The criteria for tenure are those for promotion to associate professor. Promotion to the rank of professor requires, in addition, a national or international scholarly reputation in the individual's field of study.

The candidate for promotion to a higher level must meet all the criteria of that level and of those at lower ranks.

### **B. Definitions**

Candidates include:

- 1) probationary faculty members eligible for indefinite tenure and promotion to the next rank;
- 2) probationary faculty members eligible to receive tenure in rank; and
- 3) faculty members with tenure eligible for promotion in rank.

In these procedures, "unit" means the academic unit that makes the initial recommendation on tenure and promotion. In the School of Nursing, the unit is the School, the unit head is the Dean.

### **C. Period Under Review**

The review period is the time since appointment to the University of Minnesota or the time since last review (either for promotion and tenure; or for tenure, if tenure review was

separate from appointment as associate professor) at the University of Minnesota. See Appendix F for the review timeline. Guided by Tables 1-3 in this handbook, the faculty candidate should clearly articulate their accomplishments since their last review (i.e. for promotion & tenure, appointment as associate professor, or promotion) in their research, teaching, service and synthesizing statements. All activities over the candidate's career may be included; however, it should be clear what has been accomplished since their last review on these documents and on their CV.

#### **D. External Reviewers**

Letters are solicited from external reviewers who are distinguished faculty at or above the rank sought. Occasionally, highly regarded non-academics may serve as reviewers. External reviewers must not have had direct professional or personal interest in the advancement of the candidate's career (see Appendix G for definition of arms-length reviewers). These persons are expected to provide an impartial evaluation of the candidate's qualifications and accomplishments, using criteria set forth in the 7.12 statement. Typically, letters from five to seven external reviewers are included in the file.

During spring semester prior to the review year, faculty members who are seeking tenure and/or promotion submit to FAPTEC a roster of about 10-12 potential external reviewers from peer institutions (names, credentials, and contact information). The faculty member seeking tenure and/or promotion should not contact the potential external reviewers in advance. The contact and request is made by the Dean's Office.

Materials to be sent to the external reviewers include:

- a) a letter from the dean requesting the review (sent by Dean's Office);
- b) a copy of the research, teaching and service criteria for ranks from Tables 1-3 of the SoN 7.12 Statement (sent by Dean's Office);
- c) three separate narratives with accomplishments related to research (1-2 pages), teaching (1-2 pages), and service (1-2 pages);
- d) a one-page synthesizing statement linking research, teaching, and service and written in the first person;
- e) a current CV formatted using standard UMN template (Appendix C); and
- f) a maximum of 5 journal articles and/or submitted manuscripts.

The candidate shall prepare a cover sheet and table of contents for the packet (Appendix D). Reviewers must be informed that their evaluations will not be held confidential, since state law permits the candidate to inspect them.

#### **E. Preparing the Dossier**

The dean's office has the responsibility for seeing that a dossier is prepared for each candidate, containing relevant information on teaching, research, and service, and on other factors relevant to the decision, including outside evaluations of the candidate's contributions to scholarship. For tenure and promotion decisions, the dean shall seek

appraisals from persons suggested by the candidate that have been reviewed and approved by the FAPTEC, and also request from other recognized scholars in the field or related fields. Form 12s must be included for probationary faculty.

## 1. Contents

Candidates are responsible for providing information about their accomplishments as detailed in the following paragraphs.

### a. Promotion of Probationary Faculty

Information submitted by probationary faculty for a promotion and/or tenure review must submit:

- a) a current CV using the standardized university template;
- b) three separate narratives:
  - Teaching Narrative (1-2 pages) with a list of courses taught, SRT summary table, peer reviews of teaching, letters of teaching, accomplishments, teacher effectiveness rating sheet, advising, student feedback, etc., percent effort for teaching;
  - Research Narrative (1-2 pages) with other pertinent information such as relative stature of publications, evidence of forthcoming work, etc., percent effort for research; and
  - a Service Narrative, percent effort for service (1-2 pages)
- c) external review letters as described in Section II.D. (above).

In addition to letters from external reviewers, letters from University of Minnesota faculty colleagues whose appointments are outside of the School of Nursing may be included in the dossier.

### b. Promotion to Full Professor

Candidates seeking promotion to full professor submit:

- a) a current CV that includes documentation of research, advisement/mentorship, and peer-reviewed articles;
- b) three separate narratives:
  - Teaching Narrative (1-2 pages) with a list of courses taught, SRT summary table, peer reviews of teaching, letters of teaching, accomplishments, teacher effectiveness rating sheet, advising, student feedback, etc., percent effort for teaching;
  - Research Narrative (1-2 pages) with other pertinent information such as relative stature of publications, evidence of forthcoming work, etc., percent effort for research; and
  - a Service Narrative, percent effort for service (1-2 pages)
- c) external review letters as described in Section II.D. (above).

In addition to letters from external reviewers, letters from University of Minnesota

faculty colleagues whose appointments are outside of the School of Nursing may be included in the dossier.

#### **F. Review by Tenured Faculty**

Tenured faculty members review the files of candidates and then meet in closed session for discussion and votes by electronic system on motions for tenure and/or promotion. All tenured faculty vote on motions for tenure and/or promotion to associate professor. Only professors discuss and vote on motions for promotion to full professor.

#### **G. Review by Dean**

The dean (unit head) prepares a statement of agreement or disagreement with the recommendation of the tenured faculty, including the reasons for any disagreement. The dean reviews both the tenured faculty discussion summary and vote. The dean may also consult with other persons before making decisions, but each such consultation or review shall be recorded in the candidate's file.

The dean informs the candidate of the tenured faculty's recommendation and of the dean's own recommendation. The dean also gives the candidate a copy of the final report if the candidate requests it. The dean will inform FAPTEC of recommendations. The FAPTEC Chair will convey the recommendations to the tenured faculty.

#### **H. Candidate Response**

The candidate has the right to submit a supplementary statement. Copies of the statement must be distributed to the tenured faculty.

#### **I. Final Dossier and Second Level Review**

The candidate's final dossier is compiled according to guidelines and procedures from the Office of the Vice President for Academic Affairs and Provost (Appendix B). The Office of the Vice-President for Academic Affairs and Provost oversees the second level review process, including peer review at the All-University Tenure and Promotion Committee.

### **III. Review Sessions**

#### **A. Confidentiality of Review Materials**

At the beginning of meetings to review candidates for continuation, tenure, or promotion to any rank, the following statement will be read:

"The proceedings of this review are confidential. Tenured faculty may discuss the review with other tenured faculty members in the School, but may not disclose the review session content and/or sources of the content (i.e., attributing content of the discussion to specific persons) to anyone who was not a tenured faculty in the School of Nursing at the time of

the review session. Candidates may discuss the review with members of the School of Nursing Tenured Faculty after they receive a written summary of the review.

Under the Minnesota Government Data Practices Act, any written materials from the annual review of probationary faculty meeting(s) regarding a specific individual may be requested by that individual. In order to encourage open discussion during the probationary review session(s) and remain consistent with Section 7 of the Tenure Code, any notes taken by the recorder will be without personal attribution.”

## **B. Tenured/Tenure Track Voting Rules**

A tenure vote may be taken in any year of the probationary period, but must be taken in the last year of the probationary period. Votes are recorded by the Dean’s Office for votes for tenure and/or promotion to any rank. The voting process is described in detail in *University Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty*.

## **C. Report of Action**

FAPTEC prepares a draft summary report which summarizes the candidate's file, and summarizes the tenured faculty appraisal of the file (including any minority views expressed at the meeting which had substantial support). The revised draft summary report is made available to the tenured faculty, who may comment and suggest changes. Voting by the tenured faculty by electronic system follows the faculty discussion and finalizing of the summary report. FAPTEC provides the following material to the dean for review: the FAPTEC summary report as amended by discussion of the tenured faculty, and any separate statements made by members of the tenured faculty. Faculty members may file separate reports if they believe that their views are not adequately reflected in the departmental report. Copies of such separate reports must be added to the file which is available to department head (Cooperative Unit Chair), Dean, tenured faculty, and to the candidate. The submission of such reports is the only appropriate way for faculty members to present their separate views to the dean or to the collegiate or University review bodies.

## **IV. Tenure at Appointment**

Required documentation and coordination of activities by the search committee and tenured faculty were described in Section 5.2 in the School of Nursing 7.12 Statement.

## **V. Annual Faculty Performance Review**

Faculty performance is evaluated annually by the FAPTEC merit review subcommittee and cooperative chairs. Faculty are required to submit annual evaluation materials detailing accomplishments for the **calendar** year.

The School of Nursing has developed performance criteria consistent with the mission of the School and University in the areas of teaching, research, and service. The merit document outlines performance expectations in each of these areas.

The dimensions for evaluating a faculty member's contributions to each of the three missions are consistent with the Promotion and Tenure Criteria as outlined in Section 3 of the School of Nursing's 7.12 Statement. A faculty member's academic rank is taken into consideration when evaluating performance and merit. Exemplars are provided as examples for evaluating the faculty member's level of contribution. However, not all exemplars need to be demonstrated to judge whether the contribution level has been met.

All members of the tenured and tenure track faculty are expected to complete an annual performance and merit review. Exceptions to this are faculty who are employed at less than 0.5 FTE, and faculty who have been on leave during the year under review. Faculty who are in a phased retirement period must still meet performance expectations, which may be adjusted or negotiated with their cooperative unit chair. Faculty who are in phased retirement may request an exception to submit merit and annual review documentation in their last year of phasing to retirement.

#### **A. Failure to Submit Annual Performance Review and Merit Review Documents**

When no annual review documents are received, or a faculty member is determined to be below minimum performance expectations in teaching, research, and/or service through the merit process, an annual performance shortfall process is initiated, in accordance with Section 6.2 of the 7.12 Statement.

#### **B. Annual Performance Shortfall**

In the case of a faculty member who fails to meet minimum performance expectations, FAPTEC activates and recommends review by the relevant cooperative chair to determine whether (a) performance is satisfactory (all three criteria are met), or (b) there is an annual performance shortfall (one or more criteria are not met). The determination for each tenured faculty member is forwarded to the dean by the cooperative chair, who shall maintain a cumulative record of such determinations. A determination of performance shortfall must be transmitted in writing by the dean to the tenured faculty member as part of the annual review process. The letter shall include stipulations that must be met within the next review period to correct the performance shortfall. Faculty with an annual performance shortfall may seek the guidance of their cooperative unit chair and selected peers about ways to improve their performance.

#### **C. Substantial Performance Shortfall**

Following two consecutive years with a shortfall, the dean, cooperative chair, and FAPTEC independently assess information submitted for the annual review to determine whether *substantial shortfall* has occurred. If FAPTEC determines that minimum performance criteria have been met during the third year, the current accumulation of consecutive shortfalls is stopped. If the dean and FAPTEC agree that three consecutive years of shortfall have occurred, performance is deemed a substantial shortfall and the case is referred to the Vice Provost for Faculty Affairs for special peer review according to



subsection 7a.3 of the *Board of Regents Policy: Faculty Tenure*.

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**Table 1**  
**Criteria and Exemplars for Research**

<b>Assistant Professor</b>	<b>Associate Professor and Tenure</b>	<b>Professor</b>
<p><b>Criterion:</b> <i>Shows evidence of competence in research</i></p>	<p><b>Criterion:</b> <i>Pursues a focused program of research</i></p>	<p><b>Criterion:</b> <i>Increases depth and/or breadth of focused, sustained, and creative program of research</i></p>
<p><b>Exemplars</b></p>	<p><b>Exemplars</b></p>	<p><b>Exemplars</b></p>
<p>Clearly articulated area of research and scholarship</p> <p>Beginning establishment of trajectory of research productivity</p> <p>Substantive unique contribution to a research grant</p> <p>Post-doctoral fellowship</p> <p>Interdisciplinary or collaborative research or other scholarly initiatives</p> <p>Innovative use of technology in research</p> <p>Involvement in research that engages a diverse population or that contributes to knowledge of diversity, equity, and inclusion</p> <p>Involvement in community-engaged research</p>	<p>PI on an internally or an externally funded research grant award</p> <p>Co-I on an internally or externally funded research grant award</p> <p>Co-I or consultant on collaborative, interdisciplinary community based research/scholarship project</p> <p>PI or Co-I on research involving technology transfer</p> <p>PI or Co-I on research that engages a diverse population or contributes to knowledge of diversity, equity, and inclusion</p> <p>PI or Co-I on a community-engaged research project</p>	<p>Sustained record of extramural grant awards as PI, Co-PI, or Co- I of increasing depth and breadth</p> <p>PI or Co-PI on an NIH R01 award or similar extramural grant award demonstrating independence as a researcher</p> <p>Sustained creativity and sophistication in focused area of scholarship</p> <p>Leadership in interdisciplinary and collaborative research or scholarly activities in the Health Sciences schools or university</p> <p>Sustained record of grants from a variety of funding sources (e.g., federal, foundation, corporate)</p> <p>Leadership in research involving technology commercialization</p> <p>Sustained record of research that engages diverse populations or that contributes to knowledge of diversity, equity, and inclusion</p> <p>Sustained record of leading community-engaged research studies</p>

Table 1: Criteria and Exemplars for Research

**Criteria and Exemplars for Research continued**

<b>Assistant Professor</b>	<b>Associate Professor and Tenure</b>	<b>Professor</b>
<b>Criterion:</b> <i>Defines an area of scholarship</i>	<b>Criterion:</b> <i>Merits regional and national recognition as a scholar</i>	<b>Criterion:</b> <i>Has national and/or international recognition as a scholar</i>
<b>Exemplars</b>	<b>Exemplars</b>	<b>Exemplars</b>
<p>Clearly articulates direction of research program and how it is significant to nursing knowledge, development, and practice</p> <p>A defined plan for research and funding</p>	<p>Positive external evaluations of program of scholarship</p> <p>Increasing competence, creativity, and sophistication in focused area of scholarship</p> <p>Local/regional or national research consultation</p> <p>Local, state, or regional award for research or scholarship</p> <p>Invitations to speak in area of expertise at regional or national programs</p>	<p>Positive external evaluations of research program and scholarship</p> <p>Member of editorial board or national scientific review panel</p> <p>Member of national/international scientific advisory committee, consensus group, or expert panel</p> <p>Member/fellow of a prestigious professional society</p> <p>National/international research consultant</p> <p>International award for research or scholarship</p> <p>Lead author on national/international scientific statement or evidence-based practice guidelines</p>

Table 1: Criteria and Exemplars for Research

**Criteria and Exemplars for Research continued**

<b>Assistant Professor</b>	<b>Associate Professor and Tenure</b>	<b>Professor</b>
<b>Criterion:</b> <i>Publishes scholarly products</i>	<b>Criterion:</b> <i>Established record of scholarly publications</i>	<b>Criterion:</b> <i>Sustained, substantive record of scholarly publications</i>
<b>Exemplars</b>	<b>Exemplars</b>	<b>Exemplars</b>
<p>Papers published/in press in peer-reviewed journals</p> <p>Data-based papers published/in press in peer-reviewed journals</p> <p>Published dissertation findings</p> <p>Has a h-index of 4 for published research articles (50th percentile at rank; Broome, Oermann et al, 2019)</p>	<p>Publication record included in prestigious, peer-reviewed journals that are recognized as authoritative, scientifically rigorous, and influence health care and/or the discipline of nursing</p> <p>Expanded record of publications with a preponderance of data-based, peer-reviewed papers</p> <p>Has a h-index of 10 for published research articles (50th percentile at rank; Broome, Oermann et al, 2019)</p> <p>A substantial number of peer-reviewed articles must be first and/or solo authored</p> <p>Publication record includes books, book chapters, review papers, monographs</p>	<p>A substantial publication record that includes articles in prestigious, peer-reviewed journals that are recognized as authoritative, scientifically rigorous, and influence health care and/or the discipline of nursing</p> <p>Publication record includes a majority of data-based, peer-reviewed publications</p> <p>Has a h-index of 20 for published research articles (50th percentile at rank; Broome, Oermann et al, 2019)</p> <p>Sustained record of students' co-authored publications</p> <p>Publications include editorials and other influential scholarly commentary</p> <p>Serves as editor or guest editor for prestigious, peer-reviewed research journals or textbooks that are recognized as exerting a major influence on health care and/or the discipline of nursing</p> <p>Serves as guest reviewer of international grants and scholarship</p> <p>Serves as expert guest reviewer of article in prestigious journal when not on editorial board</p>

Table 1: Criteria and Exemplars for Research

**Criteria and Exemplars for Research continued**

<b>Assistant Professor</b>	<b>Associate Professor and Tenure</b>	<b>Professor</b>
<p><b>Criterion:</b> Successfully disseminates research and/or scholarly knowledge</p>	<p><b>Criterion:</b> Established record of successful dissemination of research and scholarly knowledge</p>	<p><b>Criterion:</b> Sustained record of disseminating research and scholarly knowledge</p>
<p><b>Exemplars</b></p>	<p><b>Exemplars</b></p>	<p><b>Exemplars</b></p>
<p>Local, regional and/or national presentations</p> <p>Provides peer review of faculty grants and publications</p> <p>Disseminates research to community and/or practice audiences outside of academia</p> <p>Involved in translation of research into products for community and/or practice audiences</p>	<p>Competes successfully to present scholarly work at national and/or international conferences</p> <p>Presents research at regional research conferences</p> <p>Invited or keynote speaker at regional research conferences</p> <p>Provides peer review of faculty grants and publications</p> <p>Disseminates research to audiences outside of academia</p> <p>Develops and tests research translation products with community and/or practice audiences</p>	<p>Sustained record of competing successfully to present scholarly work at national and/or international conferences</p> <p>Competes successfully to present research at international conferences</p> <p>Multi-media presentations (e.g., video, web-based)</p> <p>Provides peer review of faculty grants and publications</p> <p>Research dissemination awards</p> <p>Invited or keynote speaker at national and international research conferences</p> <p>Leads efforts to translate research into tools and products for community and/or practice audiences</p>

Table 1: Criteria and Exemplars for Research

**Criteria and Exemplars for Research continued**

<b>Assistant Professor</b>	<b>Associate Professor and Tenure</b>	<b>Professor</b>
	<b>Criterion:</b> <i>Contributes to the research climate of the SoN</i>	<b>Criterion:</b> <i>Research mentorship of students and assistant/associate professors</i>
<b>Exemplars</b>	<b>Exemplars</b>	<b>Exemplars</b>
	<p>Record of advising and participating on graduate student committees</p> <p>Involves students in program of research or scholarship</p> <p>Has student co-authors or co-presenters at regional or national research conferences</p> <p>Successfully mentors students in research</p> <p>Supports PhD students in applying for F31-type mentored research grants</p>	<p>Sustained record of :</p> <ul style="list-style-type: none"> <li>-advising graduate students and participating serving on DNP and PhD committees</li> <li>-research mentorship of students and postdoctoral fellows</li> <li>- involving students, graduates, and/or postdoctoral fellows in research</li> <li>-student co-authors</li> <li>-students presenting or co-presenting research at local, regional, national, or international conferences</li> <li>-research mentorship of junior faculty colleagues</li> </ul> <p>Students and postdoctoral fellows receive research awards, grants, fellowships, or publication awards</p>

Table 1: Criteria and Exemplars for Research

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**Table 2**  
**Criteria and Exemplars for Teaching**

<b>Assistant Professor</b>	<b>Associate Professor and Tenure</b>	<b>Professor</b>
<p><b>Criterion:</b> <i>Demonstrates an in-depth knowledge of defined content area or specialty practice area</i></p>	<p><b>Criterion:</b> <i>Recognition in defined content area or specialty practice area</i></p>	<p><b>Criterion:</b> <i>National or international recognition in defined content area or specialty practice area</i></p>
<b>Exemplars</b>	<b>Exemplars</b>	<b>Exemplars</b>
<p>Experience in teaching or presenting at local, regional, or national venues in content/ specialty area</p> <p>Practice experience in content/ specialty area</p> <p>Certification in content/ specialty area</p>	<p>Teaches courses, classes, and/or provides teaching consultations related to defined content area or specialty practice area</p> <p>Develops courses that align with the new nursing education essentials or other established national competencies</p> <p>Certification in content/ specialty area</p> <p>Publishes education focused manuscripts, textbooks, book chapters, case studies or other learning aides</p>	<p>Publishes in education/teaching or practice related journals that are refereed and in journals of distinction.</p> <p>Provides invited presentations or consultations</p>

**Criteria and Exemplars for Teaching continued**

<b>Assistant Professor</b>	<b>Associate Professor and Tenure</b>	<b>Professor</b>
<b>Criterion:</b> <i>Experience and skill as a teacher</i>	<b>Criterion:</b> <i>Expertise as a teacher</i>	<b>Criterion:</b> <i>Recognized as a master teacher</i>
<b>Exemplars</b>	<b>Exemplars</b>	<b>Exemplars</b>
<p>Provides evidence of positive evaluations from teaching/presentations</p> <p>Provides letters of reference regarding teaching ability</p> <p>Provides examples of teaching materials</p> <p>Teaches as a guest lecturer at college level</p>	<p>Demonstrates a pattern of positive student relationships and evaluations</p> <p>Demonstrates a pattern of positive peer evaluations</p> <p>Develops course materials or assignments aimed at improving learning experience for students from diverse backgrounds</p> <p>Integrates own research and that of the field into their teaching</p> <p>Receives a SoN or local teaching award</p> <p>Demonstrates innovative teaching strategies</p> <p>Effectively teaches students in more than one program</p>	<p>Demonstrates a pattern of innovative and creative teaching strategies</p> <p>Develops course materials or assignments aimed at improving learning experience for students from diverse backgrounds</p> <p>Demonstrates a pattern of positive student relationships and evaluations</p> <p>Receives a university or external teaching award</p> <p>Demonstrates that own teaching models/ perspectives are adopted at regional or national levels</p>

Table 2: Criteria and Exemplars for Teaching

**Criteria and Exemplars for Teaching continued**

<b>Assistant Professor</b>	<b>Associate Professor and Tenure</b>	<b>Professor</b>
<p><b>Criterion:</b> <i>Demonstrates a clear philosophical vision of nursing education</i></p>	<p><b>Criterion:</b> <i>Demonstrates leadership in the education mission of the School of Nursing</i></p>	<p><b>Criterion:</b> <i>Demonstrates broad educational leadership</i></p>
<b>Exemplars</b>	<b>Exemplars</b>	<b>Exemplars</b>
<p>Articulates a philosophy of teaching</p> <p>Actively participates in efforts to expand the diversity of students and faculty in the School of Nursing</p>	<p>Organizes, teaches, and evaluates one or more courses</p> <p>Effectively contributes toward the revision, development, implementation, and evaluation of a course and/or curriculum</p> <p>Actively participates in deliberations and implementation of the education mission of the SoN</p> <p>Actively contributes to efforts to expand the diversity of students and/or faculty in the School of Nursing</p> <p>Successfully develops or significantly revises, implements, and evaluates a course</p> <p>Develops course materials that examine aspects of equity, diversity, and inclusion</p> <p>Effectively coordinates an undergraduate or graduate course</p> <p>Effectively coordinates an area of study</p> <p>Serves as PI or Co-I of an intramural or extramural education or training grant</p> <p>Advanced Interdisciplinary Education In the SoN</p>	<p>Mentors faculty at assistant or associate level</p> <p>Assumes a leadership role in advancing the education mission for the SoN</p> <p>Leads efforts to expand the diversity of students and/or faculty in the School of Nursing</p> <p>Integrates scholarship/research into teaching</p> <p>Develops, implements, and evaluates a course focused on aspects of equity, diversity, and inclusion</p> <p>Assumes a leadership role related to education of professional and/or university groups</p> <p>Advances interdisciplinary education in Health Sciences schools or university</p> <p>Serves as PI, Co-I, or investigator of an intramural or extramural education or training grant</p> <p>Serves in a leadership role in a national or international education committee</p>

Table 2: Criteria and Exemplars for Teaching

**Criteria and Exemplars for Teaching continued**

<b>Assistant Professor</b>	<b>Associate Professor and Tenure</b>	<b>Professor</b>
<b>Criterion:</b> <i>Shows advising potential</i>	<b>Criterion:</b> <i>Demonstrates advising effectiveness</i>	<b>Criterion:</b> <i>Demonstrates leadership in advising and mentoring</i>
<b>Exemplars</b>	<b>Exemplars</b>	<b>Exemplars</b>
<p>Experience advising students.</p> <p>Advises undergraduate honors, UROP, and/or capstone student projects</p>	<p>Teaches research practicum</p> <p>Serves as academic advisor</p> <p>Serves as advisor to student organizations</p> <p>Advises or co-advises PhD dissertation research</p> <p>Mentors advisees in exploring early career position options</p> <p>Chairs PhD student defense</p> <p>Serves as outside committee member for graduate student thesis or dissertation</p>	<p>Advises PhD dissertation research</p> <p>Serves as academic advisor for PhD students or post-doctoral fellows</p> <p>Submits letters from advisees/mentees documenting positive influence</p> <p>Serves as advisor/sponsor for pre-doctoral or postdoctoral training awards</p> <p>Serves as project director or collaborator for pre- or post-doctoral training award</p> <p>Chairs PhD student defense</p> <p>Serves as outside committee member for graduate student thesis or dissertation</p> <p>Coaches PhD students in exploring early career position options</p>

Table 2: Criteria and Exemplars for Teaching

**Table 3**  
**Criteria and Exemplars for Service**

<b>Assistant Professor</b>	<b>Associate Professor and Tenure</b>	<b>Professor</b>
<b>Criterion:</b> <i>Participates in professional service</i>	<b>Criterion:</b> <i>Effective service in School of Nursing and professional societies</i>	<b>Criterion:</b> <i>Effective service leadership in national and international societies</i>
<b>Exemplars</b>	<b>Exemplars</b>	<b>Exemplars</b>
<p>Participates in local or regional professional organization(s)</p> <p>Articulates relationship of scholarly expertise to professional and community service</p>	<p>Participates in scholarly societies (e.g. specialty organization, regional or national research organization, etc.)</p> <p>Integrates service with research and/or education mission activities</p> <p>Serves as abstract reviewer</p> <p>Committee member or officer in local, state, or regional professional organizations</p> <p>Participates in scholarly and policy advisory groups</p> <p>Provides practice consultation</p> <p>Testifies before government and regulatory bodies</p> <p>Chairs professional conferences or workshops</p> <p>Co-founds or co-leads new national or international associations or workgroups focused on emerging themes in health and/or health care</p>	<p>Serves on Academic Health Center committees and/or task forces</p> <p>Serves on university-wide committees and/or task forces</p> <p>Serves in a leadership position in a national or international professional organization</p> <p>Provides leadership in scholarly societies, scholarly and/or policy advisory groups</p>

Table 3: Criteria and Exemplars for Service

**Criteria and Exemplars for Service continued**

<b>Assistant Professor</b>	<b>Associate Professor and Tenure</b>	<b>Professor</b>
<b>Criterion:</b> <i>Participates in community engagement &amp; service</i>	<b>Criterion:</b> <i>Expands community engagement &amp; service activities</i>	<b>Criterion:</b> <i>Leadership in community engagement &amp; service activities</i>
<b>Exemplars</b>	<b>Exemplars</b>	<b>Exemplars</b>
<p>Engages in community partnerships that contribute to diversity, equity, and inclusion</p> <p>Engages students in community activities</p>	<p>Engages in community partnerships that contribute to diversity, equity, and inclusion</p> <p>Provides community with knowledge and skills related to scholarly expertise</p> <p>Engages in faculty practice</p> <p>Develops practice models</p> <p>Participates in advisory groups</p> <p>Works with University of Minnesota Extension, Area Health Education Center, or other community-engaged groups</p>	<p>Holds leadership positions in local, state, regional, or national community and official advisory group</p> <p>Plays a leadership role in establishing and sustaining community partnerships that contribute to diversity, equity, and inclusion</p> <p>Facilitates opportunities for students, staff &amp; faculty colleagues to be engaged in community partnerships &amp; collaborative efforts</p>

Table 3: Criteria and Exemplars for Service

## APPENDIX A

### *Documents Required for Annual Review of Probationary Faculty*

1.	Statements (see Appendix G for details)	Description
A.	<b>Synthesizing</b>	A narrative statement (up to one page only) that synthesizes and describes the integration or link of the candidate's research, teaching, and service. For each mission, include both disciplinary and interdisciplinary work. The statement should be dated and current. The synthesizing statement should be updated annually.
B.	<b>Research</b>	A narrative statement (1-2 pages only) of research and scholarly activity with activities highlighted for the review period. Include a brief explanation of significant research activities and accomplishments.
C.	<b>Teaching</b>	A narrative statement (1-2 pages only) of teaching activity with activities highlighted for the review period, and a summary of student teaching evaluations and peer teaching evaluations.
D.	<b>Service</b>	A narrative statement (1-2 pages only) of service activity with activities highlighted for the review period.
2.	<b>Teaching Evaluations</b>	Evidence of teaching ability (e.g., summary of student evaluations and peer teaching evaluations)
3.	<b>Effort</b>	Specify percent and nature of effort on externally funded grants/projects and time committed to another department. Specify the percent of effort for research, teaching, and service that is negotiated with administration for the year under review.
4.	<b>Goals</b>	List goals for research, teaching, and service for the next year. Response to previous recommendations related to research, teaching, and service should be included in the statement of goals.
5.	<b>CV</b>	Current CV Prepared Using Standard U of M CV template (Appendix C)
<b>Accomplishments during the Year Under Review (to be highlighted in candidate's CV)</b>		

<b>A.</b>	<b>Research</b>	<ul style="list-style-type: none"> <li>• Data-based scholarly/research-related publications</li> <li>• Research grants submitted, awarded, or being implemented</li> <li>• Research/scholarly presentations</li> <li>• Participation on U of M or extramural grant review committees</li> <li>• Research/scholarly awards received, including sponsor</li> <li>• Research awards received by student advisees, including sponsor</li> <li>• Appointments as associate editor or editor of journal</li> <li>• Election to prestigious societies (e.g., American Academy of Nursing)</li> <li>• Research consultations</li> <li>• Participation on University, state, or national or consensus expert panels during evaluation year; indicate if multi-disciplinary</li> <li>• Research mentorship of faculty during evaluation year; include department of faculty mentee</li> <li>• Any other research/scholarly progress</li> </ul>
<b>B.</b>	<b>Teaching</b>	<ul style="list-style-type: none"> <li>• All courses taught (number, name, title semester/year)</li> <li>• Peer evaluation of teaching</li> <li>• Student evaluation of teaching; evaluations should be completed for every course taught during the review period. Standard University and School forms and procedures should be used to obtain the evaluations. Information should be summarized in a table that includes: Term, Course Number and Title, Credits, Enrollment, and the average and range or standard deviation for item on the standard form.</li> <li>• Significant teaching or course coordination innovations or intramural or extramural teaching grants submitted, awarded, or implemented</li> </ul>
<b>C.</b>	<b>Service</b>	<ul style="list-style-type: none"> <li>• Institutional: <ul style="list-style-type: none"> <li>--SoN, Health Sciences, or U of M Governance Committees</li> <li>--SoN, Health Sciences, or U of M Task Forces</li> <li>--Other institutional service given during review period</li> <li>--SoN, Health Sciences, or U of M center director responsibilities</li> <li>--SoN, Health Sciences, or U of M service awards</li> </ul> </li> <li>• Grant, manuscript, presentation/poster reviews</li> <li>• Conference planning</li> <li>• Editor or associate editor: educational or practice journal</li> <li>• Association Activities: <ul style="list-style-type: none"> <li>--Participation in professional associations</li> <li>--Participation on consensus or expert panels</li> <li>--Testimony provided to state or national groups</li> <li>--Professional service awards received during review period</li> <li>--Nomination and/or election to prestigious university, national, or professional organization positions or awards</li> <li>--Clinical practice, including clinical supervision of students and/or research, other practice activities related to maintaining or achieving practice certification; clinical consultations provided to outside groups; clinical practice awards or recognitions</li> </ul> </li> </ul>



			<ul style="list-style-type: none"><li>• Community Service: --Community service activities that do not fall in other categories</li><li>• School of Nursing Administration: Note: This category applies only to faculty members who have official administrative responsibilities for which they are compensated in terms of payment and/or effort. --administration activities and responsibilities</li></ul>
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## APPENDIX B

### Electronic Dossier Format for Submission

Each candidate's dossier should be one single PDF with bookmarks. Label each individual's dossier with their college, name, and decision in the title, e.g. "CLA\_Smith\_Associate with tenure" or "Law\_Jones\_Tenure only."

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** (*Provided by the Dean's Office*)
- **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 [\[http://z.umn.edu/masterev\]](http://z.umn.edu/masterev) called "Master Curriculum Vitae for Promotion and Tenure."
- **Teaching**
  - Teaching narrative statement
  - List of courses taught
  - Student evaluations of teaching (summary)
  - Peer reviews of teaching
  - Other pertinent information such as advising, student feedback, etc.
  - Percent effort over review period
- **Research**
  - Research narrative statement
  - Other pertinent information required by the department and college such as relative stature of publications, evidence of forthcoming work etc.
  - Percent effort over review period
- **Service**
  - Service narrative statement
  - Percent effort over review period
- **External Reviews**
  - List of reviewers and their qualifications, and their relationship to the candidate
  - Sample letter sent to reviewers
  - Letters from reviewers
- **Impact Statement** (if included with dossier)

- **Annual Appraisals** (probationary faculty only)
  - Copies of signed Form 12s from the year of hire through 2020-2021  
*It is not necessary to include a Form 12 for the academic year in which a decision regarding tenure and promotion is made (i.e. 2021-2022).*
- **Reports**
  - Department evaluation
  - Letter from chair or head
  - Collegiate/campus committee review report
  - Dean/chancellor's letter
- **Supplementary Material** (if added by the candidate or other faculty during the review process)
- **Assurance Page** (if required by the college/campus)

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 C

UNIVERSITY OF MINNESOTA STANDARD CV TEMPLATE FOR TENURE AND/OR PROMOTION. THIS WORD DOCUMENT MIRRORS THE STANDARD CV TEMPLATE USED TO GENERATE CVs IN [WORKS](https://works.umn.edu) (WORKS.UMN.EDU). *WORKS* USERS: GENERATE CV IN WORKS AND MAKE ANY ADDITIONAL EDITS AND SECTIONS YOU WISH TO INCLUDE.

### Curriculum Vitae

#### NAME

#### Identifying and Contact Information

*[e.g. address, phone, email, websites]*

*[Optional: include brief bio similar to faculty web profile. Limit to approx. 150 words or fewer]*

#### Education

PhD/JD/MD, Institution, Emphasis/Major		Year
Advisor: First Name, Last Name	Completed	
MA/MS/MFA, Institution, Emphasis/Major		Year Completed
BS/BA, Institution, Emphasis/Major		Year Completed

*[These degrees are placeholders for whatever degrees that the candidate holds. We recognize that a wide range of degrees have been received by faculty that are not listed here.]*

#### Licenses and Certifications

Title of licensure/certification, sponsoring organization	Date Obtained
-----------------------------------------------------------	---------------

#### Languages:

*[Optional: list of languages in which you have native or advanced proficiency]*

#### Fellowships, Residencies, and Visiting Engagements

Name of Position/Engagement	Dates
Organization/Institution, Department	

#### Academic Appointments

University of Minnesota, Campus	Dates
Title/Rank	
Organization/Institution/Entity	Dates
Title/Rank	

*[Include additional optional information, such as department, name of endowed position, etc., as appropriate]*

### **Academic Administrative Appointments**

Organization/Institution/Entity Title/Rank	Dates
-----------------------------------------------	-------

### **Clinical/Hospital Appointments**

Organization/Institution/Entity Title/Rank	Dates
-----------------------------------------------	-------

### **Government Positions**

Organization/Institution/Entity Title/Rank	Dates
-----------------------------------------------	-------

### **Military Positions**

Organization/Institution/Entity Title/Rank	Dates
-----------------------------------------------	-------

### **Other Professional Positions**

Organization/Institution/Entity Title/Rank	Dates
-----------------------------------------------	-------

### **Consulting**

Consulting Position, Client/Organization	Dates
------------------------------------------	-------

### **Current Membership in Professional Organizations**

Leadership Position, if applicable, Name of Organization	Dates
----------------------------------------------------------	-------

## **HONORS AND RECOGNITION**

### **University of Minnesota**

Award or Honor Name, Name of Awarding Organization/Sponsor	Date Awarded
------------------------------------------------------------	--------------

### **External Sources**

Award or Honor Name, Name of Awarding Organization/Sponsor	Date Awarded
------------------------------------------------------------	--------------

### **Honors Awarded to Student/Trainee**

Award or Honor Name, Name of Awarding Organization/Sponsor	Date
------------------------------------------------------------	------

## **RESEARCH, SCHOLARSHIP, AND CREATIVE WORK** *[edit title as needed]*

**Grants, Contracts, Awards: External Sources**

*[e.g. federal (NIH, NSF, DEO, etc. typically routed through SPA), state grants, foundation awards, etc. When applicable, list associated projects as nested under a parent award.]*

**Award:**

Principal Investigator:

Team members on all associated projects:

Status:

Sponsoring Organization:

Award Dates:

Funded Amount:

Direct Amount:

Indirect Amount:

**Project:**

Project Team:

Status:

Project Dates:

Total Amount:

Authorized Amount:

Direct Amount:

Indirect Amount:

Percent Effort:

**Pending/Submitted:****Proposal:**

Role:

Status: [Proposal Status]

Sponsoring Organization:

Date Submitted:

Requested Amount:

Anticipated Direct Amount:

Percent Effort:

**Other Grants, Awards, Gifts, or Endowment Earnings (Internal Sources)**

*e.g. Grant-in-Aid, gifts, awards from other university sources, etc.*

**Award:**

Project Investigators:

Status:

Sponsoring Organization:

Institution:

Award Dates:

Percent Effort:

Funded Amount:

**Pending/Submitted:****Proposal:**

Role:

Status: [Proposal Status]  
 Sponsoring Organization:  
 Date Submitted:  
 Requested Amount:  
 Anticipated Direct Amount:  
 Percent Effort:

### **Publications**

*Asterisk(\*) - indicates student author*

*[Default is APA formatting for citations--use formatting common to discipline. Categorize any subheadings based on type of publication, e.g. books, journal articles, abstracts, etc]*

Author(s) (Year Published). Title of Contribution. In Editor(s) *Title of Larger Work, if applicable (e.g., a chapter in a book)* (Issue Number/Edition ed., vol. Volume, pp. Page Numbers or Number of Pages). City and State of Journal/Publisher: Journal/Publisher/Proceedings Publisher. doi: Digital Object Identifier (DOI) (For Conference Proceedings, include Conference Detail (Conference Title, Date, Location))

### **Publications Online ahead of Print**

*Asterisk(\*) - indicates student author*

*[Default is APA formatting for citations--use formatting common to discipline. Categorize any subheadings based on type of publication, e.g. books, journal articles, abstracts, etc]*

Author(s) (Year Published). Title of Contribution. In Editor(s) *Title of Larger Work, if applicable (e.g., a chapter in a book)* (Issue Number/Edition ed., vol. Volume, pp. Page Numbers or Number of Pages). City and State of Journal/Publisher: Journal/Publisher/Proceedings Publisher. doi: Digital Object Identifier (DOI) (For Conference Proceedings, include Conference Detail (Conference Title, Date, Location))

### **Publications Submitted or in Progress**

*Asterisk(\*) - indicates student author*

*[Default is APA formatting for citations--use formatting common to discipline. Categorize any subheadings based on type of publication, e.g. books, journal articles, abstracts, etc]*

Author(s) (Year Published). Title of Contribution. In Editor(s) *Title of Larger Work, if applicable (e.g., a chapter in a book)* (Issue Number/Edition ed., vol. Volume, pp. Page Numbers or Number of Pages). City and State of Journal/Publisher: Journal/Publisher/Proceedings Publisher. doi: Digital Object Identifier (DOI) (For Conference Proceedings, include Conference Detail (Conference Title, Date, Location))

### **Editing and Translations**

*Asterisk(\*) - indicates student author*

*[Default is APA formatting for citations--use formatting common to discipline. Categorize any subheadings based on type of publication, e.g. books, journal articles, abstracts, etc]*

Author(s) (Year Published). Title of Contribution. In Editor(s) *Title of Larger Work, if applicable (e.g., a chapter in a book)* (Issue Number/Edition ed., vol. Volume, pp. Page Numbers or Number of Pages). City and State of Journal/Publisher: Journal/Publisher/Proceedings Publisher. doi: Digital Object Identifier (DOI) (For Conference Proceedings, include Conference Detail (Conference Title, Date, Location))



Location))

### **Patents and Intellectual Property**

Patent/License/Disclosure Title, Date Issued

### **Presentations, Posters, and Exhibits**

*Asterisk(\*) - indicates student co-presenter*

#### ***Categorized based on type of presentation***

Presenters (Role). "Presentation Title", Conference/Meeting Name, Sponsoring Organization, City, State, Country. (Month Day, Year). [*Invited*].  
URL: [URL]

### **Creative and Artistic Practice, Performances, and Exhibits Categorized based on field of work**

Performer(s), "Work/Exhibit Title", Name of Performing Group, Sponsor/Host/Venue, City, State, Country Dates

### **Scholarly Reviews of/Commentaries on My Work**

"Title," Description Date

### **Media Contributions**

"Article/Program Title," Media Name/Organization Date

### **Other Research/Research in Progress**

Team Member(s), Status, "Title".

## **TEACHING**

### **Scheduled Teaching**

Course Name: Course Prefix Course Number: Term(s) taught

### **Instructional Activity**

#### ***University of Minnesota***

Instruction Type (e.g. Guest Lecture), Title, Role, Enrollment/Number of Participants participant(s) Dates

#### ***Other Institution(s)***

Instruction Type (e.g. Guest Lecture), Title, Role, Enrollment/Number of Participants participant(s) Dates

## CURRICULUM DEVELOPMENT

### Curriculum Development Activities

Description may include pedagogical innovations in courses you taught, new or modified teaching material, and activities that enhanced student learning. (150 words or fewer recommended) Dates

### Collaborative Efforts and Activities

Description of collaborative curriculum activities may include co-teaching, interdisciplinary teaching, academic program development, curricular planning, assessment, etc. (150 words or fewer recommended) Dates

## PROFESSIONAL DEVELOPMENT

Activity Type, "Title," Sponsoring Organization Dates

## ADVISING AND MENTORING

### Undergraduate Students Advised

#### *Advisees*

Student Name, Degree Program Dates

#### *Other Advising Activities*

*[e.g. UROP, directed research, honors theses, etc.]*

Student Name, Degree Program Dates

### Graduate Student Activities

#### *Advisees*

Student Name, Degree Program Dates

#### *Other Advising Activities*

*e.g. lab participation, directed research, honors theses, etc.*

Student Name, Degree Program Dates

#### *Committee Advising*

##### *Role*

Student Name, Degree Program Dates

### Professional Student Activities

#### *Advisees*

Student Name, Degree Program Dates

#### *Other Advising Activities*

*[e.g. lab participation, directed research, honors theses, etc.]*

Student Name, Degree Program	Dates
<b>Committee Advising Role</b>	
Student Name, Degree Program	Dates
<b>POST DOC, RESIDENT, AND TRAINEE SUPERVISION/MENTORSHIP</b> <i>[edit title as needed]</i>	
Post Doc/Resident/Trainee Name, Post Doc/Resident/Trainee Affiliation	Dates
Description of Activities/Involvement	
<b>MENTORING/CAREER ADVISING</b> <i>[if applicable]</i> <i>[e.g. mentoring of colleagues and junior faculty, peer mentoring, career advising]</i>	
Mentee/Career Advisee Name, Mentee/Career Advisee Affiliation	Dates
Description of Mentoring Activity	
<b>CLINICAL ACTIVITIES</b> <i>[if applicable]</i>	
<b>Professional Practice</b>	
Clinical Setting/Clinic Name, Description of activities/services	Dates
<b>Clinical Leadership Accomplishments</b>	
Description of clinical leadership activities	Dates
<b>Clinical Service</b>	
Position/Role, Setting, Location	Dates
<b>Quality Improvement Projects</b>	
Project Name, Team Member(s)	Dates
Outcomes	
<b>Clinical Trials and Registries</b>	
Name of Clinical Trial or Registry, Role	Dates
<b>SERVICE</b>	
<b>Service to the Discipline/Profession/Interdisciplinary Area(s)</b> <i>[edit title as needed]</i> <i>[categorize by position role, e.g. editor, reviewer, etc.]</i>	
Organization/Committee/ Conference/Publication Name, City, State, Country, Approx. Number of Hours Spent Per Year hours spent	Dates

per year

**Service to the University/College/Department** *[edit as needed; categorize by institution (e.g. University of Minnesota)]*

***Service Level (University-wide, Collegiate, Departmental)***

Position/Role, Name (e.g. committee, organization, etc.)

Dates

**Public and External Service**

Position/Role, Organization/Committee/Club, City,

Dates

## **APPENDIX D**

### **Cover Sheet and Table of Contents Template for External Reviewers**

#### **Cover Sheet**

Documents for External Review  
Promotion and or Tenure Consideration

Candidate Name, Credentials  
University of Minnesota School of Nursing

#### **Table of Contents**

Materials for External Reviewers  
Candidate Name, Credentials  
Curriculum Vitae  
Research summary statement  
Teaching summary statement  
Service summary statement  
Synthesis Statement  
Percent effort for research, teaching and service  
List of Selected Documents  
SoN Criteria for Faculty Promotion and/or Tenure

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## APPENDIX E

### Timeline for Annual Continuation Review of Probationary /Tenure Track (P/TT) Faculty (Years 1-5)

Faculty voting dates are highlighted in yellow.

Any due dates that fall on a weekend are moved to the following Monday

DATE	WHO	WHAT
September	Dean's Office	Distribute Continuation Review Timeline for the current academic year.
	Dean's Office	Schedule meeting for the Dean to review tenure code, annual review process, and annual report on Appraisal of Probationary Faculty (Form 12) with all P/TT and CT Faculty in Year 1.
Sept-Oct	Dean and P/TT and CT Faculty in Year 1	Dean and P/TT and CT faculty in Year 1 review terms of appointment, obtain SoN 7.12 Statement, and links to <a href="#">UMN tenure regulations</a> . Dean will make a written summary of this meeting and add it to the faculty member's personnel file. Dean will remind P/TT faculty of annual probationary review materials that must be completed by <b>January 15th</b> . <i>(Any due dates that fall on a weekend are moved to the following Monday)</i>
October	FAPTEC and P/TT Faculty	FAPTEC orients new and continuing probationary faculty about the annual appraisal process.
December	Dean's Office	Dean's Office emails timeline and format of annual probationary review to P/TT faculty. Materials due by the first week in February include: a current curriculum vitae; research, teaching, and service summary statements; an overall synthesizing statement; evidence of teaching ability (e.g., summary of student evaluations, peer evaluations); percent effort dedicated to research/scholarship, teaching, and service the year being reviewed; and goals for the next year.  <i>Note: Probationary assistant professors in their 5th year will also receive a notice that mandatory review for tenure and promotion to associate professor will occur during the next academic year. Mandatory review of 5<sup>th</sup> year P/TT faculty is subject to change, based on UMN policy.</i>
January	P/TT Faculty	P/TT faculty materials due - all files must be emailed to the Dean's Office by 5:00 pm <b>January 15th</b> .
	Dean's Office	Dean's Office uploads files to a Google folder for the P/TT faculty and shares with FAPTEC members.
	FAPTEC (Meeting)	FAPTEC meets to review the P/TT annual review files and assigns committee members to write the draft summaries. Drafts are due by the February FAPTEC meeting.

February	FAPTEC (Meeting)	FAPTEC meets to go over P/TT draft summaries. FAPTEC will complete final summaries by the March meeting.
DATE	WHO	WHAT
March	Dean's Office	Dean's Office will share P/TT faculty Google folders with Tenured Faculty the day of the March meeting.
	T/TT Faculty (Meeting)	Tenured Faculty review and discuss P/TT faculty (record any revisions that need to be made to reviews/summary).
	FAPTEC / Dean's Office / Tenured Faculty	FAPTEC will update the P/TT faculty annual review summaries per recommendations from the Tenured Faculty. The Dean's Office will share updated files (with revised summaries) with the Tenured Faculty via Google Drive. Final reviews are posted to the P/TT faculty files before voting opens.
4th Week in March	Eligible Voting Faculty	Online election via Simply Voting opens at 5:00 pm on Monday and closes at 5:00 pm on Friday. (The Dean's Office will send reminder emails of when voting starts and ends).
March	Dean's Office	Once the voting period ends, the results are submitted to the Dean and FAPTEC Chair. The Dean then notifies the P/TT faculty of the election results. <i>Note: Notices of Non-reappointment must be <b>completed by April 1st.</b></i>
May	Dean's Office	Dean's Office generates and routes Form 12s and FAPTEC summaries to Co-op Chairs in advance of their meetings with P/TT Faculty.  A memo is sent to P/TT faculty that includes the FAPTEC summary and a reminder to schedule a review of their summary statement with their Co-op Chair prior to the last day of May.
Last Week in May	Co-op Chairs	Co-op Chairs submit original signed Form 12s to Dean's Office with all original signatures. All reviews with Co-op Chairs should be completed by this date. <i>(Date subject to change, pending deadline from Provost Office).</i>
September 1st	Dean's Office	Submit signed Form 12's along with FAPTEC summary to Provost's Office.
October	Dean's Office/ Provost's Office	Provost's Office reviews and sign. Once the Form 12 is signed by all parties, a copy will be sent to the P/TT faculty.



**APPENDIX F**  
**Promotion and/or Tenure Review Timeline**  
**for Clinical Track and Tenured/Tenure Track Faculty**  
**(For granting of tenure, promotion to associate, and promotion to full)**

Note: This is a 12-month process that occurs over two academic years. The process begins early in the spring semester and is completed at the end of the following fall semester. If promoted, the appointment to the new rank begins with the start of the following academic year after final approval by the University's Board of Regents, approximately 18 months after the initial nomination for promotion. Faculty voting dates are highlighted in yellow.

\*Any due dates that fall on a weekend are moved to the following Monday.

DATE	WHO	WHAT
December/ January 31st	Dean's Office	<p>In December, The Dean's Office emails faculty requesting nominations for promotion. Candidates should submit their intention to pursue promotion and/or tenure in writing via email <b>by January 31st</b>.</p> <p>Note: Probationary tenure track assistant professors in their 5th year will have a mandatory review for tenure and promotion. Mandatory review of 5<sup>th</sup> year P/TT faculty is subject to change, based on UMN policies, including the 2020 policy to extend probationary periods for tenure-track faculty for one full year due to the COVID-19 pandemic. The 2020 policy granting a pandemic-related extension applies to all tenure-track faculty who were faculty in spring of 2020.</p>
February 7th	Candidates / Dean's Office	<p>Once the application for promotion is received, the Dean's Office will send the candidate an email indicating the next steps. The following documents need to be sent to the Dean's Office by <b>February 7th</b>:</p> <ul style="list-style-type: none"> <li>• A current curriculum vitae using the standard <a href="#">university template</a></li> <li>• Separate research/scholarship, teaching, and service summary statements and a synthesizing statement that provide a rationale for promotion and highlights achievements and evidence related to the current criteria of the higher rank to which you are seeking promotion.</li> <li>• <u>Note: evidence of teaching ability (e.g., student and peer evaluations) for the duration of the candidate's probationary years will be asked for in the Fall.</u></li> </ul> <p>For <b>Clinical Faculty</b>, a table of evidence needs to be submitted in addition to the materials above. An example of this table can be found in Appendix A of the <i>Clinical Faculty Promotion Handbook</i>.</p> <p>NOTE: Submission of the <a href="#">External Reviewer Spreadsheet</a> is due to the Dean's Office by April 7th. The dossier for external reviewers is due by May 7th.</p>
February	Dean's Office	<p>Once the applicant deadline passes and all applicant materials are received, the Dean's Office will create folders for each nominee and share with FAPTEC Chair.</p>

3rd Week in February	FAPTEC Meeting	FAPTEC meets to discuss applications for promotion. The Chair will then send a memo to all (voting) faculty announcing the nominees for promotion and tenure, and timeline of when elections will happen and when the materials will be shared with voting faculty.
	Clinical Faculty Meeting	<u>Clinical faculty</u> discuss and vote on the progression of Clinical faculty promotion candidates. Simply Voting opens at 5:00pm after this meeting and ends at 5:00pm Friday. Once the voting period ends, the results are submitted to the Dean and FAPTEC Chair.
	T/TT Faculty Meeting	<u>Tenured faculty</u> discuss and vote on the progression of T/TT faculty promotion candidates. Simply Voting opens at 5:00pm after this meeting and ends at 5:00pm Friday. Once the voting period ends, the results are submitted to the Dean and FAPTEC Chair.
March	T/TT Faculty Meeting	<u>Tenured/Tenure Track faculty</u> meet and vote on the progression of Clinical faculty candidates. Once the voting period ends, the results are submitted to the Dean and FAPTEC Chair.
March and April	FAPTEC/Candidates	The FAPTEC chair (and clinical faculty chair for CT faculty) share voting results with the Candidate. Candidates will receive feedback on how to improve their application materials and prepare them for the next steps in the review process. Candidates who are supported to progress to the next level of review are responsible for finalizing their materials in a dossier due to the Dean's Office by May 7th.
April 7th	Candidates/ FAPTEC/Dean	Deadline for submission of External Reviewer Spreadsheet to Dean's Office is <b>April 7th</b> . FAPTEC and Dean will evaluate and rank the list of external reviewers submitted by the candidate.
April	Candidates	Candidates consult with faculty mentors on dossier development.
May	Candidates	Deadline for submission of materials for external reviewers is <b>May 7th</b> . <i>(Any due dates that fall on a weekend are moved to the following Monday)</i>
	Dean's Office	Dean's Office sends invitations via email to external reviewers to take part in promotion review.
May-July	Dean's Office	External reviewers who accept the invitation to review are sent materials with an August 31st deadline for return of external review letters. Reminders sent throughout the summer to external reviewers who agreed to participate and have yet to return their letters.
<b>August 31</b>	Dean's Office	Deadline for receipt of letters from external reviewers.
September	Dean's Office / FAPTEC	External reviewer letters are shared with Dean and FAPTEC Chair and uploaded to the candidates' promotion Google folders; Candidate and FAPTEC members are notified that files are ready for review. FAPTEC will discuss files and assign summary writers during the September meeting. Draft summaries must be completed and uploaded to each candidate's P&T Google folder by October FAPTEC meeting date.

Last Week in September	Tenured Faculty	Deadline for submitting endorsements to T/TT faculty candidate files. and student/Peer evaluations across whole probationary period
3rd Week in October	FAPTEC Meeting	FAPTEC reviews draft P&T candidate summaries.
	Clinical Faculty Meeting	Clinical faculty discuss CT candidates. Final summaries posted to candidate files before voting opens.
	T/TT Faculty Meeting	Tenured faculty discuss T/TT candidates. Final summaries posted to candidate files before voting opens.
	Dean's Office	Candidate files close after final FAPTEC summaries are submitted. All documents listed in the 7.12 Statement must be in the file. Files are shared with Candidate and appropriate clinical and tenured faculty. The Dean's Office notifies candidates of any additional documentation placed in file by tenured faculty.
4th Week in October	Clinical Faculty	Eligible CT faculty vote on Promotion of CT faculty 1 week after October Clinical Faculty meeting. Simply Voting opens at 5:00pm Monday and ends at 5:00pm Friday. Once the voting period ends, the results are distributed to the FAPTEC Chair and Dean. Dean notifies the candidate of election results.
	Tenured Faculty	Eligible Tenured faculty vote on Promotion and/or Tenure of T/TT faculty 1 week after October T/TT Faculty meeting. Simply Voting opens at 5:00pm Monday and ends at 5:00pm Friday. Once the voting period ends, the results are distributed to the FAPTEC Chair and Dean. Dean notifies the candidate of election results.
1st Week in November	Clinical Faculty Chair/ Tenured Faculty	The Clinical Faculty Chair attends this T/TT meeting to discuss <u>CT candidates</u> with Tenured faculty. Eligible Tenured faculty vote on Promotion of CT faculty. Simply Voting opens at 5:00pm Monday and ends at 5:00pm Friday. Once the voting period ends, the results are distributed to FAPTEC Chair and Dean. Dean notifies the candidate of election results.
Last Week in November	Dean's Office	Dean's Office writes formal letter related to tenure/promotion and schedules appointments for the Candidate to meet with the Dean and co-op chair.
1st - 3rd Week in December	Dean / Candidate	Dean and Candidate meet to review vote, summary, and Dean's letter (Schedule after meeting with Co-op Chair).
December	Candidate / Dean's Assistant	Work together to prepare a final electronic version of the e-dossier.
Second Week in January	Dean's Office	The Dean's Office informs Provost's Office of promotion recommendations, uploads Dossiers to Provost Office for review.
April	Provost's Office	Provost sends recommendation letters to the University Board of

		Regents.
May	Board of Regents/Candidate cc: HR	The Board of Regents announces tenure and promotion approvals for the current cycle. Appointment to the new rank begins in the academic year after the final approval.
June	FAPTEC / Dean's Office	FAPTEC and the Dean's Office meet to review processes and timelines for the following year.
September	Dean's Office	<p>T/TT Faculty are sent an email with a link to <i>Board of Regents Policy: Tenure</i>; the most recent <i>Tenured/Tenure Track Promotion &amp; Tenure Handbook</i> that includes SoN 7.12, related procedures, timeline for promotion and tenure reviews, and deadlines for submission of documentation to candidate files.</p> <p>Clinical Faculty are sent the <i>Clinical Faculty Promotion Handbook</i>, timeline for promotion reviews, and deadlines for submission of documentation to candidate files.</p>

## APPENDIX G Definitions

**Annual Appraisal of Probationary Faculty** The annual appraisal is based on the unit's criteria and standards for tenure and/or promotion (the unit's 7.12 Statement). Probationary faculty members are reviewed every academic year by the tenured faculty as a whole, using the criteria shown in Tables 1-3. These annual reviews are coordinated by FAPTEC and informed by feedback and recommendations candidates received from prior years that have been documented on UMN Form 12.

**Annual Faculty Performance Review** The annual performance review (as part of the merit process) is conducted by both the cooperative chair (as delegated by the dean as the unit head) and a merit review subcommittee of faculty members under the direction of FAPTEC. As a result of the annual performance review, all faculty members receive feedback about their performance relative to the goals and expectations of the unit. This review is used for assigning merit increases for faculty compensation and for faculty development.

**CV** Current Curriculum Vitae prepared using Standard U of M CV template (Appendix C).

**Effort** Specify percent and nature of effort on externally funded grants/projects and time committed to another department. Specify the percent of effort for research, teaching, and service that is negotiated with administration for the year under review.

**External Reviewers** Letters are solicited from external reviewers who are distinguished faculty at or above the rank sought. External reviewers should be currently active in research. Occasionally, highly regarded non-academics may serve as reviewers. External reviewers must be considered "arms length" reviewers, meaning they are not influenced by a formal conflict of interest defined as a direct professional or personal interest in the advancement of the candidate's career (for example, they should not have *worked together* in graduate school, or during a post-doctoral fellowship, in a lab or serving on faculty together; *collaborated* on research or *published together*; or be former advisors or mentors. Additionally, the reviewer cannot be someone who has edited a special issue of a journal, or a book, that includes articles or chapters by the candidate). External reviewers can be individuals who have served on the editorial board of the same journal, or on the editorial board of a journal if the reviewer is the editor; individuals who have served on committees of professional organizations together, or on review boards/committees together; individuals with whom the candidate has met at conference or an invited lecture or symposium; individuals who have presented with the candidate on the same panel at a conference.

These persons are expected to provide an impartial evaluation of the candidate's qualifications and accomplishments, using criteria set forth in the 7.12 statement.

**Goals** List goals for research, teaching, and service for the next year. Response to previous recommendations related to research, teaching, and service should be included in the statement of goals.

**Merit Review** Faculty peer evaluation conducted annually by the FAPTEC merit review subcommittee. This process happens at the same time as the cooperative chairs conduct the Annual Faculty Performance Review.

**Post-tenure Review** Conducted as part of the annual merit review process. Also referred to as Annual Review of Tenured Faculty. The purpose of post-tenure review is to affirm each tenured faculty member's continued engagement; or, when performance falls substantially short of minimal expectation, to create and implement a performance improvement plan.

**Quadrennial Review** The formal evaluation of progress of all associate professors toward promotion to professor that is reviewed every four years after attaining tenure, initiated by FAPTEC.

**Research Statement** A narrative summary of research and scholarly activity, including relevant research accomplishments related to 7.12 criteria. Include a brief explanation of significant research activities and accomplishments. This statement should be updated annually.

**Teaching Statement** A narrative summary of teaching activity and accomplishments, including relevant teaching accomplishments related to 7.12 criteria. The narrative should include a list of courses taught, a summary of student teaching evaluations, peer reviews of teaching, and other pertinent information such as advising, student feedback etc. This statement should be updated annually.

**Service Statement** A narrative summary of service activity, including relevant service accomplishments related to 7.12 criteria. This statement should be updated annually.

**Synthesizing Statement** A narrative statement that synthesizes and describes the integration or link of the candidate's research, teaching, and service. For each mission, include both disciplinary and interdisciplinary work. The statement should be dated and current. This statement should be updated annually.

**Tenured Faculty** Those who have been granted indefinite tenure after the successful completion of a probationary period or who were hired from outside the University of Minnesota with indefinite tenure.