

DATE: May 13, 2020

TO: Chancellors and Twin Cities Deans

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

SUBJECT: **2020-2021 Schedule and Guidelines for Submission of Tenure, Promotion and Termination Recommendations: Tenure-Track and Tenured Faculty—Twin Cities, Crookston, Morris, Rochester**

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

Guidelines and Processes for Promotion and/or Tenure Decisions

Effect of Extensions of the Probationary Period on Annual Appraisals

In spring 2020 the probationary period for all tenure-track faculty was extended by one year. Please review these [instructions](#) for recording such extensions on the UM Form 12 and providing guidance to external reviewers.

Disseminating the correct 7.12 statement to the unit voting faculty and the collegiate/campus P&T committee

In departments with new, approved 7.12 statements, assistant and associate professors will have been given a choice of using the new or old version of the unit 7.12 statement as the set of criteria for review. Be sure to include in the dossier the correct 7.12 statement that was chosen by the candidate. Provide the candidate, voting faculty, and collegiate/campus P & T committee copies of the tenure regulations:

- The Board of Regents Policy on *Faculty Tenure* and the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty* are available at: <http://policy.umn.edu/hr/tenure>

If you have questions concerning the correct 7.12 statement, please contact Ole Gram (612-624-5082; gram@umn.edu).

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

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

Voting

Attendance and participation at tenure and promotion meetings are essential obligations of the members of the tenured faculty. If the University community is working remotely at the time of tenure and promotion meetings, those meetings should be held via video or telephone conference. Proxy votes, telephone votes, fax votes, and email votes are not permitted. Units are strongly encouraged to use the University's confidential electronic voting system, vote.umn.edu. Contact Jaclyn Adair (berg1282@umn.edu) for access and more information.

Handling Additions to the Dossier by the Candidate or Others

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

Once the candidate has received copies of reviews and/or recommendations, she or he may comment in writing to those who will review the matter further (Section 7.61). Units and colleges/campuses must provide adequate time (no fewer than five working days from the date that they receive a copy of the review) for candidates to respond, particularly to a negative or split vote of the faculty of a unit or college/campus or negative recommendations from chairs, heads, and deans. There should be adequate time for the next level of review to consider the candidate's response.

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

Communication of Promotion and/or Tenure Decisions

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

1. A folder will be created for each college or campus in Google Drive that will be shared with the P & T coordinators. The coordinator will receive a link to the folder from Jaclyn Adair (berg1282@umn.edu) where they should upload the complete candidate dossiers by their unit's submission deadline (see *Appendix C*).
2. Material submitted after the collegiate/campus submission deadline should be dated and emailed directly to Jaclyn Adair (berg1282@umn.edu) no later than March 19, 2021. Please contact Jaclyn Adair should the need arise for adding relevant material past this deadline.

Recommendation for Termination of Appointment

Termination in Mandatory Decision Year

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

Early Termination prior to Mandatory Decision Year

Please note that recommendations for termination of probationary faculty appointments prior to the mandatory decision year also require second-level and provostal review. **Early termination recommendations from colleges/campuses must be received by April 1, 2021.** Please consult section II.F. of the [Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty](#) for information about the procedures related to early terminations.

Recommendations to the Board of Regents

The executive vice president and provost makes final recommendations on faculty tenure, promotion, or non-reappointment for all units on the Twin Cities Campus and for the Crookston, Morris, and Rochester campuses. The provost will present the recommendations for tenure and/or promotion, including those for the Duluth campus, to the Board of Regents at its meeting in May, 2021. This presentation includes individuals who are contract faculty as well as academic professionals with continuous appointments.

The primary contact person for all P & T transmissions to the Provost's Office is Jaclyn Adair (612-625-5652; berg1282@umn.edu). Policy and procedural questions may be directed to Ole Gram (612-624-5082; gram@umn.edu).

- c: Rachel Croson, Executive Vice President and Provost
Ken Horstman, Interim Vice President for Human Resources
Brian Steeves, Executive Director and Corporate Secretary, Board of Regents

APPENDIX A

Electronic Dossier Format for Submission

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

The PDF should include the following bookmarked sections and subsections:

- **7.12 Statement**
 - (Faculty who were hired or tenured while an older 7.12 statement was in effect will have had the choice to elect which 7.12 statement they wish to use as the set of criteria for the review. Make certain to include the correct, approved 7.12 statement).
- **Dossier Cover Sheet** (See *Appendix B1* and *Appendix B2*)
- **Table of Contents**
- **Curriculum Vitae**
 - The candidate should use the standardized University of Minnesota CV template generated in *Works* [works.umn.edu] or the template available at [<http://z.umn.edu/mastercv>] called "Master Curriculum Vitae for Promotion and Tenure."
- **Teaching**
 - Teaching narrative
 - List of courses taught
 - Teaching evaluation data/summary
 - Peer reviews of teaching
 - Other pertinent information such as advising, student feedback, etc.
- **Research**
 - Research narrative
 - Other pertinent information required by the department and college such as relative stature of publications, evidence of forthcoming work etc.
- **External Reviews**
 - List of reviewers and their qualifications, and their relationship to the candidate
 - Sample letter sent to reviewers
 - Letters from reviewers
- **Service**
 - Service narrative
- **Annual Appraisals** (probationary faculty only)
 - Copies of signed Form 12s from the year of hire through 2019-2020
It is no longer necessary to include a Form 12 for the academic year in which a decision regarding tenure and promotion is made (i.e. 2020-2021)
- **Reports**
 - Department evaluation
 - Majority and minority reports
 - 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.

APPENDIX B1
2020-21 Recommendations
Tenure & Promotion to Associate Professor
(Probationary Assistant to Associate Professor with Tenure or
Probationary Associate to Associate Professor with Tenure)

Candidate Name:
Candidate Email:
Campus Mailing Address:

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

UMN Faculty Appointment Information

Current Rank: _____ Effective date: _____

Current Appt. Type: Tenure-track

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

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

UMN Probationary Service (as calculated on UM Form 12)

Prior Service Credit: _____ years

Extension of probationary period : _____ years

UMN probationary service (including current year): _____ years

Total Years in Rank _____ years

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

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

APPENDIX B2
2020-21 Recommendations
Promotion to Professor Only (Tenured)

Candidate Name:
Candidate Email:
Campus Mailing Address:

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

UMN Faculty Appointment Information

Current Rank: _____ Effective date: _____

Current Appt. Type: Tenured

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

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

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

Total years in rank (including current year) _____ years

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

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

APPENDIX C
Deadlines for Submission of Materials for 2020-2021

P & T Dossiers

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

January 12, 2021

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

January 19, 2021

College of Liberal Arts
College of Science and Engineering

January 26, 2021

Crookston Campus
Morris Campus

February 2, 2021

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

February 9, 2021

Duluth Campus

March 19, 2021

Other Important Deadlines

Deadline for submission of supplementary material
including additions by the candidate

March 19, 2021

Early termination recommendations

April 1, 2021

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

May 6, 2021
(subject to change)