Each department or equivalent academic unit must have a document that specifies (1) the indices and standards that will be used to determine whether candidates meet the threshold criteria of subsection 7.11 (“General Criteria” for the awarding of indefinite tenure) and (2) the indices and standards that will be used to determine whether candidates meet the threshold criteria of subsection 9.2 (“Criteria for Promotion to Professor”). The document must contain as an appendix the text and footnotes of subsections 7.11 and 9.2, and must be consistent with the criteria given there but may exceed them. Each departmental statement must be approved by a faculty vote (including both tenured and probationary members), the dean, and other appropriate academic administrators, including the Senior Vice President for Academic Affairs and Provost. The chair or head of each academic unit must provide each probationary faculty member with a copy of the Departmental Statement at the beginning of the probationary service.

This document is intended to satisfy section 7.12 of the Regents Policy on Faculty Tenure.

I. Overview

This document describes with more specificity the indices and standards for making the following personnel actions:

- Annual reviews of probationary faculty
- Conferral of indefinite tenure
- Promotion to associate professor
- Promotion to professor
- Post-tenure review

PsTL 7.12 Statement
Faculty personnel policies and procedures for the Department of Postsecondary Teaching and Learning meet the requirements established by the University and the College of Education and Human Development, and are consistent with the College Values Statement To Guide 7.12 Revisions. In addition, this document is consistent with the Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenured and Tenure-Track Faculty.

A. College of Education and Human Development Mission Statement

“The new College of Education and Human Development is a world leader in discovering, creating, sharing, and applying principles and practices of multiculturalism and multidisciplinary scholarship to advance teaching and learning and to enhance the psychological, physical, and social development of children, youth, and adults across the lifespan in families, organizations, and communities” (Source: College of Education and Human Development website http://education.umn.edu/newcollege/default.html).

B. Department of Postsecondary Teaching and Learning (PsTL) Mission Statement

The Department of Postsecondary Teaching and Learning strives for excellence in multicultural and multidisciplinary teaching and research at the postsecondary level and seeks to be an effective and useful model of publically engaged scholars.

C. College Values Statement To Guide 7.12 Revisions

“The College affirms the pre-eminent value of excellence in research, teaching, and service—excellence that will help the University achieve the highest level of recognition among public research universities. Unit 7.12 statements must reflect the Unit’s high standards of academic excellence, consistent with the framework of the University 7.11 statement for promotion and tenure.

The College recognizes and values the diversity of missions, disciplines, and faculty expertise represented in the units in the College. Although excellence must be the foundation upon which the work of a faculty member is evaluated in the context of promotion and tenure, how that excellence is manifested may vary across time and across units within the College.

The College affirms the crucial role played by faculty within the unit to ensure that their decisions about promotion and tenure are decisions that will be validated by judgments at the College and University levels.

Units are encouraged to prepare 7.12 statements that articulate unit priorities in the context of the College’s mission statement: “The new College of Education and Human Development is a world leader in discovering, creating, sharing, and applying principles and practices of multiculturalism and multidisciplinary scholarship to advance teaching and learning and to enhance the psychological, physical, and social development of
children, youth, and adults across the lifespan in families, organizations, and communities”.

Faculty at our land grant University are expected to contribute to the public good through their work. Therefore, Unit 7.12 statements should reflect how faculty work that involves models for public engagement and multicultural and multidisciplinary initiatives can be documented so that excellence in these areas is considered in the context of promotion and tenure.” (Source: College of Education and Human Development 7.12 Committee)

II. Annual Reviews of Probationary Faculty

The tenured faculty of the Department of Postsecondary Teaching Learning annually reviews the progress of each probationary faculty member toward satisfaction of the criteria for receiving tenure as provided by the Regents Policy on Faculty Tenure and in accordance with the University’s Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty. The following section describes the departmental procedures for this review.

A Review and Promotion Committee is established for each probationary faculty member.

1. Composition of the Committee: Two tenured associate professors or professors will be assigned to each probationary faculty member. The committee will be selected by the chair based on consultation with the probationary faculty member as well as with potential committee members.

2. Purpose of Committee: The purpose of this committee is to increase accountability and responsibility for the review and tenure process by engaging tenured faculty directly in this work beyond the bounds of annually reviewing the candidate’s dossier and supporting materials. Additionally, this committee will enable the department to review candidates more efficiently and effectively with the purpose of providing constructive feedback over the probationary period.

3. Responsibilities: For purposes of annual review, the committee will be responsible for presenting the candidate’s case to the tenured voting faculty. While all voting faculty members are responsible for assessing the candidate’s progress, the committee will give a short (3-5 minute) overview to the voting faculty on: the progress and contributions made in teaching, research, and service in the past year; the strengths and weakness of the case as it has developed to date; suggestions or recommendations for strengthening the case by addressing gaps or weaknesses.

Departmental Review Process
1. Under the direction of the department chair, candidates will assemble a file annually which will include all documents and materials resulting from or serving as evidence of their work and contributions since the last annual review. In addition, candidates will provide the following key documents which will be made available to voting faculty as PDF files:
   - Updated curriculum vitae
   - Teaching, research, and service statements. Early in the probationary period, these are likely to be focused, succinct documents calling attention to key contributions and progress in these three areas. As the candidate moves closer to the decision year, these statements should also serve to articulate depth and focus of contributions, and in the area of research, an explanation or annotation denoting the particular impact or importance of a given project/product, such as are called for in the tenure dossier.
   - 3-4 documents that most signify or evidence the candidate’s contributions and progress toward tenure in the year since previous review. These should include evidence of research (grant applications or reports; peer reviewed articles; publications) and might also include teaching materials or extensive reports/texts that demonstrate academic leadership in area of service.

2. Candidates’ materials will be available several weeks in advance of the tenured faculty’s review meeting.

   Each year, the department chair in consultation with the Dean will create a schedule for when candidate’s materials will be available for review, the date and time of the departmental meeting, and the schedule for meetings between the chair and candidate to discuss the President’s Form 12 Annual Appraisal document.

3. **Departmental Annual Review**: CEHD requires an annual vote on all probationary faculty members as part of the annual appraisal to determine whether the department faculty recommend renewing the candidate. All eligible faculty are obligated to attend the annual review faculty meeting meetings. The vote will take place at the meeting and ballots will be counted at the meeting. Following the meeting, the Chair will report the vote and submit a draft of the Annual Appraisal form to the tenured faculty for review. Should there be a clear discrepancy between the discussion of a candidate’s progress/case-to-date and the vote results, the chair will solicit more discussion in an attempt to generate specific and directive feedback to the candidate. For those undergoing annual renewal, failure to achieve a majority ballot will result in a recommendation for notice of termination of the appointment.

   According to the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenured and Tenure Track Faculty*, the annual appraisal report must address the candidate’s progress toward the granting of indefinite tenure and
promotion according to both the *Regents Policy on Faculty Tenure* and the departmental 7.12 Statement. In order to provide substantive reports on the Annual Appraisal forms that lay out the strengths, weaknesses, and recommendations for a given candidate and so as to systematically evaluate and facilitate the candidate’s progress to tenure, the review of a candidate will begin with a report from the faculty members assigned to that candidate’s Review and Promotion Committee. This report is intended to be summative, and is to be followed by an evaluative discussion amongst the tenured faculty.

The chair of the department prepares a written summary of that review and discusses the candidate's progress with the candidate, giving a copy of the report to the candidate. This written summary is provided on President’s Form 12 and is signed by the candidate, the chair of the department, the Dean of CEHD, and the Senior Vice President for Academic Affairs and Provost.

**Extending the Probationary Period**

Section 5.5 of the *Regents Policy on Faculty Tenure* states that probationary faculty have the right to request an extension of their probationary periods in several circumstances. (See Appendix A for the text of Section 5.5.) When considering the work of probationary faculty who have extended the probationary period, criteria for promotion and tenure are no different from the criteria for those who do not have an extension to the probationary period.

**III. Awarding of Indefinite Tenure**

University Criteria for Awarding Indefinite Tenure (*Regents Policy on Faculty Tenure*)

**7.11 General Criteria.** What the University of Minnesota seeks above all in its faculty members is intellectual distinction and academic integrity. The basis for awarding indefinite tenure to the candidates possessing these qualities is the determination that each has established and is likely to continue to develop a distinguished record of academic achievement that is the foundation for a national or international reputation or both [3] This determination is reached through a qualitative evaluation of the candidate’s record of scholarly research or other creative work, teaching, and service [4]. The relative importance of these criteria may vary in different academic units, but each of the criteria must be considered in every decision [5]. Demonstrated scholarly or other creative achievement and teaching effectiveness must be given primary emphasis; service alone cannot qualify the candidate for tenure. Interdisciplinary work, public engagement, international activities and initiatives, attention to questions of diversity, technology transfer, and other special kinds of professional activity by the candidate should be
considered when applicable. The awarding of indefinite tenure presupposes that the candidate’s record shows strong promise of his or her achieving promotion to professor.

[3] "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.

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

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

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

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

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

[5] 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.

What the Department of Postsecondary Teaching and Learning (PsTL) seeks above all in its faculty members is intellectual and scholarly distinction that furthers the College of Education and Human Development’s goals of multidisciplinarity, multiculturalism, and public engagement.¹

¹ PsTL uses the definitions of multidisciplinary and multicultural adopted by CEHD and the definition of public engagement adopted by the University of Minnesota and the Committee on Institutional Cooperation.
The basis for awarding indefinite tenure and promotion is the determination that candidates have established and are likely to continue to develop distinguished records of academic achievement that is the foundation for a national and/or international reputation. Candidates’ achievements should also contribute to the mission of PsTL and the College of Education and Human Development (CEHD). In addition, the awarding of indefinite tenure also presupposes that candidates’ records show a strong promise of their achieving promotion to professor.

The determination of whether candidates should be granted indefinite tenure is reached through a qualitative evaluation of their record of scholarly research or other creative work, teaching, and service. The primary emphasis in PsTL’s qualitative evaluation is on whether candidates have distinguished records of scholarly research or other creative work and records of effective teaching.

PsTL values candidates’ public engagement work and recognizes it may simultaneously represent scholarly research or other creative work, teaching, and service. Therefore, candidates are encouraged to present work in all of the appropriate areas below.

Distinguished Record of Scholarly Research or Other Creative Work

Definition: A distinguished record of scholarly research or other creative work means that a candidate has an ongoing successful program of work, has demonstrated productivity through publication in venues that are peer-reviewed and/or recognized as highly respectable in the candidate’s field(s) of study, and has made important scholarly contributions. Multidisciplinary, multicultural, and publicly engaged work is highly valued by the Department and the College. Therefore, a distinguished record will include attention to these perspectives. The University, the College, and PsTL value international activities and initiatives and technology transfer; yet PsTL recognizes that candidates will differ in the amount of work they do in these areas.

Required Documentation:
1. A statement, prepared by the candidate, that describes the candidate’s scholarly research or other creative work agenda, summarizes all completed and/or published projects, describes the importance of each project, and describes the candidate’s role in each project. The statement should also propose new projects for the next phase of the candidate’s career.
2. Written evaluations regarding the quality and national and/or international impact of the candidate’s scholarly research or other creative work prepared by external reviewers outside the University of Minnesota who have expertise in the candidate’s area. (See Section 12 of the Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty for details about the number of external reviewers.)
Other Documentation:
The candidate may present other evidence of the impact of the candidate’s scholarly research or other creative work. Other forms of documentation might include, but are not limited to: letters from community partners regarding the impact of the candidate’s scholarly or other creative work, unsolicited reviews; external funding of research projects and/or creative work; election to prestigious organizations; election or appointment to community boards; appointments to academic journal editorial boards; national conference, symposium, workshop, or community-based outreach presentations.

Effective Teaching

Definition: Effectiveness in teaching means having successfully implemented teaching practices that foster students’ abilities and promote public engagement. In addition, attention to multidisciplinary perspectives and multiculturalism in teaching are highly valued in the College and in PsTL. A candidate’s record will promise sustained and/or increased effectiveness and contributions to postsecondary teaching and learning.

Required Documentation:
1. A statement, prepared by the candidate, which describes the candidate’s teaching philosophy and goals and that reflects on the probationary period and proposes teaching approaches for the next phase of the candidate’s teaching career. The statement may also address how the candidate’s teaching impacts communities outside of the University...
2. A summary of the candidate’s teaching assignments that identifies the candidate’s teaching responsibilities and lists all courses taught and any other teaching assignments (including any outreach and community based teaching).
3. Detailed syllabi and other teaching/learning materials representative of the candidate’s teaching responsibilities over the probationary period.
4. A summary of the results from student ratings of teaching administered in all course sections taught in the probationary period.
5. Written peer evaluations—prepared by at least three different tenured faculty members—from different years in the probationary period, based upon first-hand observations of the candidate’s teaching or reviews of teaching materials that are representative of the candidate’s teaching responsibilities over the course of the probationary period.

Other Documentation: The candidate may present other evidence of teaching effectiveness and/or the impact of the candidate’s teaching. Other forms of documentation might include, but are not limited to: teaching awards; letters from community partners regarding the impact of the candidate’s teaching; invitations to teach from outside of PsTL; invitations to mentor teachers; election or appointment to College or University committees on teaching practices.
**Service**

Definition: Probationary faculty may provide service to appropriate professional organizations and contributions to the successful functioning of PsTL, the College, and the University. Publicly engaged service means relevant outreach and community service activities that stem from a candidate’s teaching, scholarly research or other creative work. Although candidates are expected to engage in service activities, during the probationary period they have only modest expectations for service to the Department, College, and University and publicly engaged service.

Required Documentation: A description, written by the candidate, detailing the relevant service contributions during the probationary period and a proposal for the next phase of the candidate’s career. The statement should also describe any service to professional organizations, PsTL, CEHD, and/or the University.

Other Documentation: The candidate may present other evidence of service. Other forms of documentation might include, but are not limited to: letters from community partners; editorial board memberships; agency advisory panels; testimony at the local, state, national or international level; relevant elected or appointed offices.

The chair will work with the tenure candidate to assemble the required materials for a complete dossier and the chair will solicit external reviews. As specified by the Procedures, the contents of the dossier are available to all voting faculty and to the candidate.

All eligible tenured faculty must have an opportunity to vote. (See Section 2 of the Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenured and Tenure Track Faculty for specifics procedures for departmental voting on tenure and/or promotion.) An affirmative vote of a majority of those voting "yes" or "no" is necessary to recommend tenure and/or promotion. For those seeking tenure, failure to achieve a majority ballot will result in a recommendation for notice of termination of the appointment.

Following the vote of the faculty, the committee will work in consultation with the chair to draft the Unit Report, the summary and appraisal of research, teaching, and service during the probationary period, drawing on specific examples and evidence from the dossier, and summarizing the departmental process. This report must be distributed to the faculty for final input. The chair will be responsible for the Chair’s report (referred to in the “Procedures” document) as well as for reporting on the results of the decision meeting.

The chair is responsible for meeting with the candidate regarding the results of the vote and the unit report.
IV. Promotion to Associate Professor

Promotion to Associate Professor is predicated on a candidate satisfying tenure standards in research, teaching, and service. A candidate who satisfies tenure standards is ordinarily promoted to Associate Professor.

V. Promotion to Professor

University Criteria for Promotion to Professor (Regents Policy on Faculty Tenure)

9.2 Criteria for Promotion to Professor. The basis for promotion to the rank of professor is the determination that each candidate has (1) demonstrated the intellectual distinction and academic integrity expected of all faculty members, (2) added substantially to an already distinguished record of academic achievement, and (3) established the national or international reputation (or both) ordinarily resulting from such distinction and achievement [8]. This determination is reached through a qualitative evaluation of the candidate’s record of scholarly research or other creative work, teaching, and service [9]. 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.

[8] "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.

[9] The persons responsible for this determination are the full professors in the unit who are eligible to vote. The outcome of the vote is either promotion to the rank of professor or continuation in rank as an associate professor. The procedures for voting are identical to those outlined in Section 7.4 for the granting of indefinite tenure, the nondisclosure of grounds for the decision (Section 7.5), and the review of recommendations (Section 7.6). In addition, a petition to the Judicial Committee for review of a recommendation of continuation in rank as an associate professor follows the procedures specified in Section 7.7 for decisions about promotion to associate professor and conferral of indefinite tenure.

The basis for promotion to the rank of professor is the determination that candidates have (1) demonstrated the intellectual distinction and academic integrity, attention to multidisciplinary and multicultural work, and public engagement expected of all faculty members, (2) added substantially to an already distinguished record of academic
achievement, and (3) established the national or international reputation ordinarily resulting from such distinction and achievement. In PsTL, this determination is reached through a qualitative evaluation of candidates’ records of scholarly research or other creative work, teaching, and service. All three are considered. However, pursuant to the Regents Policy on Faculty Tenure, distinction in service alone will not qualify candidates for promotion to professor.

Associate professors are strongly encouraged to work toward promotion to the rank of professor (See Section 7.11 of the Regents Policy on Faculty Tenure.)

VI. Annual Review of Tenured Faculty and Post Tenure Review

The Regents Policy on Faculty Tenure requires that each department establish a statement of goals and expectations for performance of tenured faculty (section 7a.1) and a set of procedures for annual and special reviews (sections 7a.2 and 7a.3).

7a.1 Goals and Expectations

Faculty in the Department of Postsecondary Teaching and Learning (PsTL) holding indefinite tenure have been awarded tenure on the basis of their performance under the criteria established in section 7.11 of the Regents Policy on Faculty Tenure: “The basis for awarding indefinite tenure to the candidate . . . is the determination that each candidate has established and is likely to continue to add to a distinguished record of academic achievement that is the foundation for a national or international reputation or both.”

It is the expectation that PsTL faculty holding indefinite tenure will contribute significantly and consistently to the mission of the University and to its programs of teaching, research, and service over the course of their careers. The traditional distribution of effort in a faculty member’s workload is 40% to teaching, 40% to research, and 20% to service and outreach. Although over the professional lifetime of a given faculty member, the department recognizes that the balance among the functions of teaching, research, and service and outreach may shift, PsTL faculty will, on an annual basis, be expected to demonstrate vitality and achievement in all three functions. When circumstances require, as in the case of full-time administrative assignments or sabbatical leaves, faculty members may negotiate with the Department chair, preferably in advance, to adjust their distribution of effort percentages. These agreements will be documented and serve as the basis for subsequent annual reviews.

Teaching: Each year faculty will demonstrate that they are effective teachers. The minimum expectation is that evidence of effective teaching will be documented in the annual report of activities through: standard student rating of teaching measures; participation in peer review; and development of new courses or materials, or use of significant new teaching strategies, or self-critical examination of existing materials and strategies.
**Research:** Each year, faculty will demonstrate an active research agenda leading to dissemination of significant research and scholarship. The minimum expectation is that evidence of an active research agenda will be documented in the annual report of activities through some combination of the following: start-up of new research strands, with tangible evidence such as grant proposals submitted in support of the new direction; or presentation of research findings or scholarly work at selective national conferences, with tangible evidence such as a conference paper, slides, or proceedings; or articles; or book chapters; or edited collections; or, in the case of book-length efforts, submission of unpublished work in progress, showing work completed in the interval since the previous annual report of activities, and plans for completion of the work in progress.

**Service/Outreach:** We recognize that service and outreach are not the primary criteria on which the tenure decision rests. Given the nature of the College of Education & Human Development and its mission, however, we expect that faculty holding indefinite tenure will engage in mission-related service and mission-driven outreach activities that both build on and take advantage of the strength of the College and its faculty. The minimum expectation is that evidence of mission-related service or outreach will be documented in the annual report of activities through: active service in Department, College or University governance, with documentation of the individual faculty member's contribution to the productivity of the body served; or service to professional organizations, with documentation of the faculty member's contribution to the body served; or public service or community outreach which takes advantage of the individual's role as a University and CEHD faculty member, with documentation of the faculty member's contribution to the body served.

**7a.2 Annual Review.**

Annually, at the call of the chair, all PsTL faculty will submit an annual report of activities in teaching, research, and service and outreach. The annual report of activities is the basis for assessing merit pay and for conducting annual review to determine the degree to which individual faculty have met performance expectations outlined in 7a.1.

Annual activity reports will be assessed by the department’s "Merit Review Committee” and chair. This Merit Committee will consist of tenured faculty members elected by the probationary and tenured faculty.

The Merit Review Committee makes recommendations to the chair concerning merit raises for faculty based on the appraisal of annual performance as reported. The Merit Review Committee and chair also provide, where appropriate, suggestions for improvement and provide assistance in that effort. Furthermore, the Merit Review Committee identifies, through its annual assessment, faculty whose performance may be substandard in relation to the expectations outlined in 7a.1.

If the chair and Merit Review Committee determine that the faculty member’s performance falls below the goals and expectations, the chair of the department in
conjunction with the Merit Review Committee shall advise the faculty member in writing, and develop a plan for improving performance and establish a time period (of at least one year from the time of the letter) within which improvement should be demonstrated.

7a.3 Procedures for Special Peer Review In Cases Of Alleged Substandard Performance By Tenured Faculty.

If at the end of the time period for improvement (described above), the chair determines that a tenured faculty member’s performance continues to be below the goals and expectations of the department, the department will follow all of the appropriate steps as outlined in section 7a.3 of the Regents Policy on Faculty Tenure.
Appendix A. Section 5.5 of the *Regents Policy on Faculty Tenure*. 

5.5 Exception For New Parent Or Caregiver, Or for Personal Medical Reasons. The maximum period of probationary service will be extended by one year at the request of a probationary faculty member:

1. On the occasion of the birth of that faculty member's child or adoptive/foster placement of a child with that faculty member; or

2. When the faculty member is a major caregiver for a family member [2] who has an extended serious illness, injury, or debilitating condition. A faculty member may use this provision no more than two times; or

3. When the faculty member has an extended serious illness, injury, or debilitating condition.

The request for extension must be made in writing within one year of the events giving rise to the claim and no later than June 30 preceding the year a final decision would otherwise be made on an appointment with indefinite tenure for that faculty member.