STANDARDS AND INDICES FOR TENURE, PROMOTION, ANNUAL REVIEW, AND POST TENURE REVIEW OF FACULTY

Department of Forest Resources
College of Food, Agricultural, and Natural Resource Sciences

Approved by the Faculty
December 13, 2007
Approved by the Senior Vice President for Academic Affairs and Provost
March 2, 2008

I. INTRODUCTION

This document describes the indices, standards, and procedures to be used for the following personnel evaluations:

A. Annual performance appraisal of probationary faculty.

B. Recommendation for awarding indefinite tenure consistent with Regents Policy on Faculty Tenure (University of Minnesota, 2007; hereafter cited as Faculty Tenure), Section 7.11. General Criteria (Appendix A).

C. Recommendation for promotion to Associate Professor parallel to those for consideration of tenure and to Professor consistent with Faculty Tenure, Section 9.2 (Appendix B).

D. Annual performance appraisal and special reviews following awarding of tenure.

This document is also consistent with the “Procedures for Evaluating Candidates for Promotion and/or Tenure: Tenure-Track and Tenured Faculty (2007).” This document has been reviewed and approved by departmental faculty as of the date stated above. The document must be reviewed again, and revised to reflect current values and practices of the department, no later than January 2017.

II. MISSION STATEMENT

The mission of the Department of Forest Resources includes 1) resident instruction of undergraduate and graduate degree programs; 2) the conduct of research focused on forest and related resource\(^1\) problems of state and national significance; 3) provision of extension education programs to the public, continuing education to natural resource professionals, and service to appropriate agencies in natural resource management where the unique expertise of the faculty, staff, and facilities can serve the state; and 4) cooperation with regional, national, and international

\(^1\) Minnesota Statutes 89.001, subd 8 states: "Forest resources means those natural assets of forest lands, including timber and other forest crops; biological diversity; recreation; fish and wildlife habitat; wilderness; rare and distinctive flora and fauna; air; water; soil; and educational, aesthetic, and historic values."
organizations and agencies that share similar interests and goals for the development and application of educational programs and research technology to significant problems and issues.

To significantly contribute to this mission a faculty member must establish and maintain strong, discipline-based research, teaching, and service. With that as a foundation, contributions to research, teaching, and service that are interdisciplinary in nature are encouraged and given equal weight.

In pursuit of the mission it is the expectation that all faculty have as a personal goal their promotion to the rank of professor.

III. ANNUAL APPRAISALS OF PROBATIONARY FACULTY

A. Basis

The performance of probationary faculty will be evaluated each calendar year as required by Faculty Tenure, Section 7.12. The general appraisal criteria will be those identified in Faculty Tenure, Section 7.11. A probationary faculty member must develop written documentation each year addressing effectiveness in teaching and professional distinction in research and scholarship. Service or contributions to the University and community will also be documented. The suggested format for the document to be submitted is provided in Appendix C.

B. Departmental Procedures

The annual appraisal document must be submitted to the Department Head by December 15 or other specified date each year. The document will be made available to tenured faculty in the department for their review. A meeting of tenured faculty in the department will be held to discuss the probationary faculty member’s contributions in the areas of teaching, research, and service. The department head will document the proceedings including identification of areas where progress is satisfactory or unsatisfactory. A secret ballot will be taken on whether the probationary faculty member’s appointment should be continued or terminated. All tenured faculty members in the department who are not on leave are required to cast a vote.

By no later than January 15 following submission of the annual appraisal document, the Department Head will meet with the probationary faculty member to discuss progress being made, areas that require increased attention, and communicate the vote of tenured faculty.

To document the annual appraisal process, the Department Head must fill out the Appraisal of Probationary Faculty report (President’s Form 12), obtain the necessary signatures on the report, and include the report in the candidate’s file.

A probationary faculty member with an appointment split between two departments will submit the above documentation to each department. The Forest Resources Department Head and tenured faculty will review the documentation for a split-appointment probationary faculty member whose majority appointment home is Forest Resources in the
manner described in the preceding three paragraphs. An additional facet of that review will be consideration of an appraisal statement from the department head of the other department involved.

C. Tenure Clock

Section 5.5 of Faculty Tenure allows the tenure clock to be stopped for new parent or caregiver responsibilities or for personal medical reasons. This is a right afforded every probationary faculty member. When considering the record of a probationary faculty member who has stopped the tenure clock, criteria for promotion and tenure are no different that the criteria for those who do not have an extension to the tenure clock.

IV. CONFERRAL OF INDEFINITE TENURE

To be awarded indefinite tenure, a faculty member will be expected to have demonstrated effectiveness in teaching, productivity in research, and achievement in service. Because of the diversity within the Department in terms of the distribution of responsibilities among these three areas, the emphasis on each endeavor will vary according to disciplinary subfield and the faculty member’s position description. However, accomplishment in all three areas must be demonstrated by each faculty member. Accomplishment is judged generally by Faculty Tenure, Section 7.11 and specifically through factors now outlined. The level of accomplishment for an individual will be assessed by comparison to the average departmental level of activity or productivity for any factor. Consistent, above average performance based on teaching, research, and service factors will constitute a strong recommendation for conferral of indefinite tenure.

A. Effectiveness in Teaching

i. Classroom instruction: clearly defined course objectives; relevance of subject to contemporary issues; adequacy of preparation; clarity of lectures; skills in guiding the learning process and motivation of students; willingness to assist students in achieving educational goals; and clarity and fairness of examinations and problems, and the use of examinations to cover important points and guide the learning process.


iii. Development and publication of scholarly materials: textbooks, workbooks, curricular materials, etc.

iv. Participation in teaching improvement programs.

v. Instructional load: classroom, including laboratory, and student contact hours; contributions to team and interdisciplinary teaching experiences.

vi. Advising: undergraduate load and effectiveness, graduate load and effectiveness, and familiarity with course and professional changes.
vii. Contribution to extension, service learning continuing education and publicly engaged scholarship: short courses, workshops, presentations, and assistance to organizations, groups, or individuals.

A committee of three tenured faculty members, appointed by the department head, charged with evaluating a candidate’s teaching effectiveness will take all these factors into consideration. All course materials will be reviewed. The committee will summarize student evaluation scores, and trends in those scores, and compare them to departmental, long-term averages. The committee will extract representative written student comments from student evaluations as well. Committee members will participate in or seek input from faculty who have made classroom visits. Parallel efforts to these will be made for non-classroom, e.g. extension, instruction where relevant. The committee will prepare a written report detailing its efforts for submission to the Department Head and inclusion in the candidate’s materials.

B. Professional Distinction in Research and Scholarship

i. Develop an exemplary research program: conduct research that is original and moves a subject-matter discipline forward; the research program should have a clearly identified focus or foci.

ii. Initiation of new grant proposals and externally funded projects.

iii. Cooperative/interdisciplinary efforts: contribution to research of others and team research. Such efforts, where consistent with the individual’s defined disciplinary research program, are considered equal, based on the extent of the contribution to the cooperative/interdisciplinary effort.

iv. Translational research efforts: focus on local, state, and national needs; pursuit of basic knowledge for current and future forest and related resource problems; likelihood of use by practitioners; scientific soundness; and impact of results on forestry programs.

v. Publications: refereed publications (number and scientific contribution) non-refereed publications (number and contribution to the practice of forest and related resource science and management), nature of the research in regard to the length of time required for results to reach publication stage, and book and manuscript review. Refereed publications in high-impact journals of the discipline are considered the gold standard. To that end, documentation must also provide quantitative measures of publishing outlet quality/impact.

vi. Extension of research results in addition to publication: papers presented (invited and volunteered), extension bulletins, technology transfer, and consultation. Presentations at scientific conferences with a national or international audience are considered the gold standard.

Documentation produced by the candidate will be critically reviewed with respect to these
factors by tenured faculty in the Department, selected faculty at the University but outside the Department, and selected faculty, researchers and professionals outside of the University who are knowledgeable of the candidate’s field(s) of inquiry. The Department Head, in consultation with the candidate, will select the reviewers. Reviews so obtained and the credentials of the reviewers will become part of the candidate’s tenure decision file. Reviewers must be chosen consistent with the Procedures for Reviewing Candidates for Promotion and/or Tenure: Tenure-Track or Tenured Faculty Section 12 that describes the minimum number of external reviewers and their relationship with the candidate for tenure and/or promotion.

C. Service or Contributions to the University and Community

i. University: leadership and participation on committees and task forces, public service and relations, and technical assistance.

ii. Professional organizations: leadership and membership, offices held, committee participation and technical assistance provided.

iii. Community activities: technical assistance to individuals, groups, and government; participation in organizations; public service.

While service will be taken into consideration, it is secondary in importance to effectiveness in teaching and professional distinction in research and scholarship in the decision to confer indefinite tenure. In addition to documentation provided by the candidate, statements of support from those impacted by the candidate’s service efforts may be included in the candidate’s materials.

D. Tenure Clock

Section 5.5 of Faculty Tenure allows the tenure clock to be stopped for new parent or caregiver responsibilities or for personal medical reasons. This is a right afforded every probationary faculty member. When considering the record of a probationary faculty member who has stopped the tenure clock, criteria for promotion and tenure are no different that the criteria for those who do not have an extension to the tenure clock.

V. PROMOTION

A. To Assistant Professor

Where initial hiring is done at the instructor level, standards for promotion to the rank of assistant professor are those for hiring at the assistant professor level.

B. To Associate Professor

Since promotion to this rank is usually associated with a decision concerning tenure, such a promotion must meet the tenure indices and standards of IV. above.
C. To Professor

It is expected that all faculty have the goal of ultimately achieving the rank of professor.

General criteria for promotion to professor are those given in Section 9.2 of *Faculty Tenure*. Further, specific criteria are identified below. Contributions must have continued in all areas. In all cases achievement is expected to be at a level exceeding that required for promotion to associate professor; service contributions particularly should substantively exceed the level expected for promotion to associate professor.

i. **Effectiveness in teaching:** contributions have continued in all the areas identified in IV. A. above. Further, the candidate should have demonstrated the ability to successfully advise Ph.D. students and/or post-doctoral fellows as evidenced by the placement of such students/fellows in academic or research organization positions in their disciplinary field. The candidate should also have demonstrated success in offering course work whose primary audience is graduate students.

ii. **Professional distinction in research and scholarship:** contributions have continued in all the areas identified in IV. B. above. Further, the candidate should have established a truly national and/or international reputation in their disciplinary field(s). Evidence for this must be in the form of election to prestigious scientific organizations, significant awards from national/international scientific organizations, election to offices in important societies, appointment to an editorial office for a scientific journal, or invitations to national/international symposia to make keynote presentations. This evidence must be substantiated by strong letters of support from known subject-matter authorities from outside the University.

iii. **Service or contributions to the University and community:** contributions must have been demonstrated at a significantly high level in all the areas identified in IV. C. above. Further, the candidate should have demonstrated leadership in service as evidenced by the chairing of important committees not only at the departmental level but also at the college level or above. Similar evidence of a leadership role in service must be present for efforts outside the University. Examples include the hosting of a major national or international conference in the candidate’s discipline area or service on a government taskforce.

VI. POST TENURE REVIEW

A. Annual Appraisal

Faculty members who have been awarded tenure will continue to submit documentation (cf. Appendix C) annually to summarize their contributions in the areas of teaching, research, and service. Each faculty member will meet annually with the Department Head to review their document, discuss progress and short- and moderate-term goals. The goals and expectations for tenured faculty members will parallel those used in the granting of tenure, but will take into account the different stages of professional development of faculty.
A tenured faculty member must continue to demonstrate contributions as defined by all of the following criteria:

i. Teach a number of courses consistent with their teaching/extension appointment and receive satisfactory or better student evaluations for those courses; maintain the currency and relevancy of all courses they teach; provide appropriate advising assistance to undergraduate students assigned to them; successfully mentor graduate students and/or post-graduates through completion of their studies.

ii. Sustain a significant research and scholarship program of high quality; communicate the results of their research and scholarship activities through refereed and non-refereed publications as well as presentations at seminars, symposia, or conferences; maintain research/scholarship support through active, externally funded grants.

iii. Serve on a combination of departmental, college, or University committees or the equivalent (e.g. advise a student organization); accurately document continued service to their profession or public (e.g. peer review of articles or grant proposals, evaluations of faculty/scientists from units other than Forest Resources, active participation, including leadership, in professional associations, scholarly or technical assistance to relevant public and private organizations). Faculty at the rank of professor are further expected to document the mentoring of assistant and/or associate professor colleagues where the opportunity is presented.

B. Special Review

When the Department Head makes the determination that a tenured faculty member has consistently, when viewed over a period of at least three years, failed to demonstrate contributions with respect to criteria i., ii., and iii. in section VI. A. above, the Head must notify the individual in writing and refer the case to the departmental Post Tenure Review Committee. This must be done by February 15 or other specified date following submission of the faculty member’s annual appraisal form. The Post Tenure Review Committee will consist of three tenured faculty elected by their departmental peers (tenured faculty). If the faculty member whose performance is in question is a Committee member, (s)he will be replaced by a special vote of tenured faculty. If the faculty member whose performance is in question is at the rank of professor, voting and committee membership is restricted to faculty at the rank of professor. If fewer than three eligible faculty members exist in the Department, the committee will consist of all eligible faculty members. No committee members may hold an administrative appointment that involves supervision of the faculty member.

The Post Tenure Review Committee will meet to review the case including the faculty member’s annual appraisal forms for the three years in question and the Department Head’s findings. The faculty member has the right to communicate with the committee as well, in either written or oral form. The Committee may seek additional information regards the case from individuals either inside or outside the department.
Upon completion of its investigation, the Committee will vote by secret ballot on the case. The vote shall be whether the faculty member has or has not consistently, when viewed over a period of at least three years, failed to demonstrate contributions with respect to criteria i., ii., and iii. in section VI. A. above. The vote must be unanimous to become the Committee’s finding. Regardless of the outcome, the Committee must produce a written report of its investigation and finding, including all sources of information it used in arriving at the finding. The report must be made available to the faculty member and Head by April 1 or other specified date of the year the case is presented to the Committee.

If the Committee agrees with the Department Head’s finding, the Committee then must work with the Head and faculty member to define a plan to overcome the deficiency within the period covered by the next annual review. The plan should be included as an addendum to the Committee’s written finding.

If at the time of the next annual review the Head determines the faculty member has continued to fail in demonstrating contributions with respect to criteria i., ii., and iii. in section VI. A. above, the Committee must again meet to review the case. If they concur with the Head’s determination, the Committee and the Head will jointly request the Dean initiate a special review as provided in Rules and Procedures for Annual and Special Post-Tenure Review, Tenure Subcommittee of the Senate Committee on Faculty Affairs, revised March 5, 1998 and Section 7a. of Faculty Tenure.
Appendix A
University of Minnesota
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. This determination is reached through a qualitative evaluation of the candidate’s record of scholarly research or other creative work, teaching, and service. The relative importance of these criteria may vary in different academic units, but each of the criteria must be considered in every decision. 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.

1 "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.

2 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.

3 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.
Appendix B
University of Minnesota
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.\(^1\) This determination is reached through a qualitative evaluation of the candidate’s record of scholarly research or other creative work, teaching, and service.\(^2\) 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.

\(^1\) “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.

\(^2\) 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.
Appendix C
University of Minnesota
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.
2007
FACULTY INFORMATION FORM
Annual Update

A. Position title/appointment

B. Instructional Activities

1) Courses taught in past year (1xxx to 8xxx courses)

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<tr>
<th>Designator &amp; # (e.g., FR 1001)</th>
<th>Course title</th>
<th>Cr</th>
<th>%a</th>
<th>Enrollmentb</th>
<th>Adjusted enrollmentc</th>
<th>Student Credit Hoursd</th>
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*a Percent of your instruction for team taught courses or guest lectures
*b From grade reports
*c Enrollment x fraction of course taught for team taught courses or guest lectures
*d Adjusted enrollment x Cr

2) New undergraduate or graduate courses organized, educational development projects, audio visual materials, syllabi revision, web implementation, UROP advising, etc.

3) Undergraduate Advising responsibilities (include those for all or part of the year)

Undergraduate students (number) --

4) Graduate students for whom you are the major advisor: (indicate degree completion this year by an asterisk before name).

<table>
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<th>Name</th>
<th>Degree Objective (M.S. or Ph.D.)</th>
<th>Major</th>
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5) Other advising of graduate students

<table>
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<tr>
<th>Name</th>
<th>Degree Objective (M.S. or Ph.D.)</th>
<th>Major</th>
<th>Advising role(^1)</th>
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\(^1\) Thesis reader (Rdr), examining committee member (Mbr), consultation (C).
6) Other teaching related responsibilities and accomplishments

C. Publication and reporting accomplishments during past year:

1) Research and extension publications or works “in press” during the past calendar year (with complete citation—authors, date, title, pages, etc.). Include all publications credited to your projects. Identify refereed journal articles by an * to the left of the authors’ names. Extension and other publications should be prefixed by a +. Publications may include bulletins, fact sheets, newsletters, newspaper and magazine articles, and papers resulting from talks or seminars (if actual copies are available).

a) IN PRESS items from last year with updated full citations:

b) NEW publications with full citations:

c) Papers IN PRESS this year:

2) Manuscripts in preparation (authors, title, planned publication outlet)

3) Presentations: talks, papers or speeches presented based on your scholarship, research, or experience (yours or your graduate students). Indicate presenter in bold, date, title, location, audience, meeting or seminar, etc., if it was part of such. These presentations may also appear under publication section above if they are published. EXTENSION and CONTINUING EDUCATION efforts should be listed under E.1 below.

D. Projects and proposals

1) ONGOING research and extension project involvement:

a) Experiment Station research projects (project number, title)

b) Grant or co-op projects (Area-Org [e.g., 405-0000], title, investigators, source of support, $ support)

2) NEW research or extension project involvement initiated and funded during the past calendar year (include title, investigators, source of support, $ support, award dates, and CUFS numbers if available)

3) PROJECT PROPOSALS PREPARED (include title, investigators, proposed source and amount of support, status)

E. Outreach-Extension, continuing education and public service related accomplishments.

1) Extension or continuing education courses (including short courses, workshops, training sessions, tours, etc.) conducted during the past year (dates, title of event or meeting description, audience and number of participants, location, sponsor, your role, e.g., organization, leadership, coordination, teaching). Note: formal presentations should be cited in section C3.

2) Other contributions to extension programs or public service in past year, e.g., consultation, individual assists, planning activities, program evaluations.

F. Major University committee assignments (indicate chairmanship, include ad hoc committees, time spent on each [days]
1) Department

2) College

3) University

4) Other (see also G if more appropriate there)

G. Assistance to professional organizations, other academic institutions, or agencies not included under D or E above (such as leadership, planning review efforts, committees, professional society or other organization membership, number of proposals and manuscripts reviewed).

H. Special honors and recognition (include any new certificate of appreciation, awards, new honor society membership, etc.)

I. Professional self-improvement activities during past year (include meeting attendance not indicated elsewhere, short courses attended, study travel, skills acquired, etc.)

J. Outside consulting activities (with or without remuneration).

K. Other significant accomplishments or contributions not previously mentioned (visitors hosted, special achievements, student recruiting efforts, employees supervised, progress toward professional goals, and other items not already reported above, etc.).