DATE:    May 5, 2017

TO:      Josh Hamilton, Dean, College of Science and Engineering
         Amy Hietapelto, Dean, School of Business and Economics
         Susan Maher, Dean, College of Liberal Arts
         Jill Pinkney Pastrana, Dean, College of Education and Human Service Professions
         William Payne, Dean, School of Fine Arts

FROM:    Fernando Delgado
         Executive Vice Chancellor for Academic Affairs

SUBJECT: Promotion and Tenure Review: Process and Content of File

In order to provide information to faculty members eligible for tenure and promotion with more
lead-time we are distributing the memo in the spring rather than the fall. The timeline and
Readiness Form will be distributed at the beginning of the fall semester.

A. Promotion and Tenure Review: Process

The bargaining agreement between the Regents and the UEA specifies the procedures for
promotion and tenure recommendations in Section 201.400-201.485.

The procedures in Section 201.400 are to be followed by tenure-track faculty members who wish
to be considered for tenure and promotion and by tenured and non-regular faculty members who
wish to be considered for promotion. Outlined below are the components of the procedures that
are common to all units. Please share this information with department heads and other
appropriate individuals.

The first step, outlined in Section 201.405, states that a faculty member wishing to be considered
for tenure or promotion or both, must request in writing on or before September 30 that the
process for such consideration be initiated. All faculty who are not full professors are to indicate
in writing whether or not they wish to be considered. Copies of these statements are to be placed
in the faculty member's Academic Record File.

1. If a person wishes to be considered for promotion and/or tenure, the next step is
   preparation of the Promotion and Tenure File. Deans are to meet with the faculty
   member and her or his department head to discuss the expected documentation in the
   Promotion and Tenure File and the date for completion of the File. A copy of this
   memo is to be given to the faculty member and department head as well as the
   convener once the committee is chosen (“committee” refers to the tenure and/or
promotion committee in this document). Whatever other assistance is provided depends upon department practice with recognition of two things: (a) all faculty within a department are to be offered the same type of assistance, and (b) the faculty member has considerable responsibility for providing, maintaining, and organizing the materials necessary to make an evaluation.

2. Once the P & T File is prepared, the faculty member must sign the Promotion/Tenure Readiness Form to indicate they have seen the information in the file and to affirm that the P & T File is ready for committee use in making the recommendation on promotion and/or tenure. The Dean must provide this form to the faculty member. At the time the faculty member signs the form, all information including reference letters should be in the File.

Once the File has been submitted, the Faculty member cannot make any changes or additions. The Convener secures the file and only eligible voting members, along with the Dean (Principal Administrator), EVCAA and Chancellor's offices will have access to the file.

3. A copy of the Promotion/Tenure Readiness Form must be distributed to each faculty member eligible (section 201.420) to vote on the P & T recommendation at least ten calendar days before the committee meeting at which the vote is taken (section 201.415).

4. The P & T File, whether in print or secure digital form following the norms of your college, is made available for each eligible voting faculty Member to examine. This does not mean that each person necessarily receives a copy of the File; rather, one or more copies of the File are to be kept in a secure place where it can be examined under controlled conditions. A log is to be kept of eligible voting Members who have read the file. The File is to be accessible only to eligible voting faculty. NOTE: Every eligible voting faculty member is to read the File because a person’s decision must be based solely on the information in the File. As per section 955.220 of the bargaining agreement between the Regents and the UEA, the committee may also request to review the candidate’s Academic Record File and record of performance evaluations.

5. At least four calendar days prior to the committee meeting at which the vote is to be taken (section 201.430), a written notice and agenda must be distributed to eligible voting members by the convener.

6. The committee can make a recommendation only if there is a simple majority of a quorum of the eligible voting members. A quorum is two-thirds of the eligible voting members (see section 201.435, regarding failure to have a quorum or a majority vote). It should be noted that abstentions from voting on promotion and/or tenure are strongly discouraged. The only exceptions are faculty who cannot participate fully because of disability leave, formal medical leave, or those who are not in the country (section 201.420).
7. The vote must be by written, unsigned ballot. The ballots are to be standard and prepared prior to the meeting. Two eligible voting members, excluding the convener, shall count the votes. The ballots, contained in a sealed envelope, are sent to the college office within seven days (section 201.445) of the vote. The outside of the envelope must have the faculty member's name and the date of the vote. The college office must keep the ballots at least three years.

8. Also within seven days of the vote, the convener sends the File to the college office. This is the File upon which the eligible voting faculty based their vote plus the committee’s summary of the recommendation. Section 201.445 outlines what must be included in this summary. There must be a separate convener’s recommendation (section 201.445 (d)). The convener’s recommendation may appear in the same statement as the committee’s recommendation, but must be easily identifiable as the separate convener’s recommendation.

9. Please note that Section 201.445(c) of the Bargaining Agreement requires a statement of any minority recommendation and the reason(s) for this recommendation. Committee members voting in the minority can submit an anonymous letter to the convener that describes key items that led to the minority vote. The convener identifies in his/her statement whether minority reports exist and adds them to the File.

10. In the case of a vote for promotion and tenure of an Assistant Professor, the vote is to be the same for promotion to Associate Professor and for the granting of tenure unless there is a clear explanation for the discrepancy that can be justified by the 7.12 statement. If there is a discrepancy in the vote totals for promotion and tenure, a letter from the convener describing the reason is to be included in the file that moves forward to the college office.

11. The faculty member must receive a copy of the convener’s statement. The faculty member then has ten calendar days (section 201.450) to review the complete File and provide written comments or supplemental documents to be added to the File. Any additional material must be accompanied by a written statement identifying who requested the addition, who prepared it, and the date of preparation.

12. See contract sections 201.455 - 201.480, for recommendation and decision processes at the levels of dean, EVCAA, Chancellor and the Regents. Upon written request of the faculty member, s/he may confer with the dean before a recommendation is made to the EVCAA.

13. The File is to be placed in ONE 1-2 inch 3-ring binder. An original file plus one full copy is to be sent to the Dean, who is responsible for forwarding to the EVCAA office. DO NOT send additional files, archive files or other supporting materials. Please retain these in the deans’ offices so that they may be accessed by the EVCAA and Chancellor if needed. Files may be stored electronically with access information stored in the deans’ office.
B. Content of File for Tenure-Track Faculty

1. The P & T file is to contain a table of contents, include divider sheets with tabs between sections, and pages must be numbered. In order to save both paper and space, double-sided pages (when possible) are encouraged. Do not use individual page protector sheets for file content pages. The file is limited to the following:
   I. Table of contents
   II. Letters from each level of P&T review
   III. Form 25 statements from UMD from all previous years
   IV. Curriculum Vitae
   V. Teaching: a summary comprised of student evaluations of teaching and peer evaluations of teaching
   VI. Research/scholarship/creative activity: a summary statement of research/scholarship/creative activity agenda
   VII. Service: a summary of service and leadership roles on university, professional, and community service.
   VIII. External review bio sketches and letters
   IX. Statement from the faculty member summarizing their philosophy and/or plan for teaching, research/scholarship, and service that was followed to reach this stage of their career and their plans for the future
   X. Other information

2. Evaluations for teaching:
   a. A representation of all courses evaluated is to be included. The candidate may include a statement contextualizing the evaluations.
   b. Include the means and standard deviations of the responses on teaching evaluation forms.
   c. Departments that require peer evaluation in their 7.12 statements are to report the results of these.

3. Graduate Advisees
   a. If a faculty member advises graduate students, indicate how many have completed degrees. For example, "Professor _______ has advised ten master's students since 2000-01. Six have completed degrees and two others are in their first year in the graduate program."

4. Refereed and Nonrefereed Publications
   a. Clearly identify which publications are refereed. The file should be comprised predominantly of peer reviewed or peer adjudicated publications.
   b. The convener's letter is to include some discussion (based on the feedback of the committee) of the quality of journals, proceedings, book series, and other places in which the candidate has published. As appropriate, comments on the quality of venues for performance or presentations are to also be included.
   c. The faculty member is to provide an attribution statement for all joint authorship
publications. An estimated percentage contribution for each co-author may be included, but is not required, for example, 60% faculty member, 40% joint author. Designation of joint authorship with students is to be annotated.

d. For those faculty for whom performance and exhibition are the primary outlet, provide documentation of setting and/or the details of a reviewed or juried performance or exhibition.

5. Grants, Contracts, and Awards
   a. Indicate both the funding source and the amount of any grants, contracts, or awards received.

6. Letter from Reviewers
   a. External Reviewers
      i. At least five letters from independent external reviewers with sufficient academic credentials and rank/tenure are to be submitted with the file. External reviewers should be current faculty members with active and visible research/scholarship/creative activity. Exceptions to this will only be allowed through consultation and approval from the Dean and EVCAA. Enough letters are to be solicited (with acceptance from reviewers) in order to reach this number. All letters that are received by the deadline are to be included in the candidate’s file. External reviewers should not be from the candidates doctoral program or serve as co-authors on research.
      ii. The convener and faculty member will each compile a list of potential external reviewers. These lists will be submitted to the dean for final approval. Candidates are not to contact external reviewers about their letters at any time once the list of reviewers has been determined.
      iii. It is recommended that potential external reviewers be contacted by the convener prior to the sending of the formal review request in order to ensure that they are willing to perform the review and will be available to submit the review to meet the promotion and tenure timetable. These requests for external review are to be neutral, not, for example, "...a positive statement from you since the department feels that this is a most worthy person and is among the top few in the country."
      iv. The letter from the convener should describe the procedure used to select the external reviewers.
      v. Solicitation of evaluation of scholarly or service work from external reviewers is to be done by the convener or the dean.
      vi. A sample copy of the letter sent to external reviewers requesting an evaluation of the faculty member’s work is to be included in the file. The file should contain the names and brief biographical sketches of all individuals from whom reviews were requested (one page maximum: do not provide full CVs).
      vii. External reviewers are to not have joint authorship of publications or grant submissions nor have supervised the faculty member at the terminal degree level. Letters may be solicited from other individuals, such as
graduate or post-doc advisors, if the department P&T committee believes that they could provide unique information concerning the candidate’s record. These additional letters cannot be part of the required 5 independent reviews, and are to be placed in a separate part of the P&T file.

b. Internal Reviewers (optional, 3 maximum)
   i. Include a sample copy of the letter sent to internal (on campus) reviewers requesting evaluation of the faculty member's work. Reviewers are to focus their letters on the items of tenure and/or promotion as listed in the 7.12 statement.

c. Other
   i. Any other items described in the department 7.12 statement not already discussed should be included in this section. These materials need to be included in the File before the faculty member signs the Promotion/Tenure Readiness form.

NOTE: For faculty members in the decision year, a signed Form 25 must accompany the Promotion and Tenure file. Violations of contract-mandated procedures can be grounds for a grievance. The Form 25 is to be printed such that the signature lines and the member’s biographical data are on the same page. Additional sheets can be attached to the Form 25 if needed. If additional sheets are included, they are to include the member’s name, college, department, and appraisal year. The Form 25 is available on the web at: http://policy.umn.edu/sites/policy.umn.edu/files/forms/pres25.pdf

C. Content of File for Promotion to Professor

1. The Promotion file is to contain a table of contents, include divider sheets with tabs between sections, and pages must be numbered. In order to save both paper and space, double-sided pages (when possible) are encouraged. Do not use individual page protector sheets for file content pages. The file is limited to the following:
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   IX. Other information
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   a. If a faculty member advises graduate students, indicate how many have completed degrees. For example, "Professor _______ has advised ten master's students since 2000-01. Six have completed degrees and two others are in their first year in the graduate program."

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   a. Clearly identify which publications are refereed. The file should be comprised predominantly of peer reviewed or peer adjudicated publications.
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   c. The faculty member is to provide an attribution statement for all joint authorship publications. An estimated percentage contribution for each co-author may be included, but is not required, for example, 60% faculty member, 40% joint author. Designation of joint authorship with students is to be annotated.
   d. For those faculty for whom performance and exhibition are the primary outlet, provide documentation of setting and/or the details of reviewed or juried performance or exhibition.

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   a. Indicate both the funding source and the amount of any grants, contracts, or awards received.

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iv. The letter from the convener should describe the procedure used to select the external reviewers.

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vii. External reviewers are to not have joint authorship of publications or grant submissions nor have supervised the faculty member at the terminal degree level. Letters may be solicited from other individuals, such as graduate or post-doc advisors, if the department P&T committee believes that they could provide unique information concerning the candidate’s record. These additional letters cannot be part of the required 5 independent reviews, and are to be placed in a separate part of the P&T file.

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cc: Chancellor’s Office
    Office of Human Resources