

University of Minnesota Morris  
Division of the Humanities

**Statement of Departmental Standards for Tenure,  
Annual Reviews of Probationary and Tenured Faculty,  
and Promotion for Probationary and Tenured Faculty**

Divisional Statement as Required Under the Board of Regents Policy on  
*Faculty Tenure*, Section 7.12 Approved by the Faculty on February  
14, 2020

Approved by the Executive President and Provost on August 21, 2020

## **I. Introduction**

Reviews of faculty for promotion and tenure and annual performance appraisals at the University of Minnesota, Morris (UMM) are conducted in accordance with all University policies and procedures contained in the Board of Regents Policy on *Faculty Tenure* and related documents. Candidates for indefinite tenure and /or promotion in rank are judged on demonstrated accomplishments, and on potential for future development and contributions to the UMM program in the areas of teaching, research/creative production, and service. This document is intended to specify the indices and standards to be used by the Division of Humanities to determine whether candidates meet the University of Minnesota's general criteria for indefinite tenure as they are set out in section 7.11 of the Board of Regents Policy on *Faculty Tenure*, as well as the indices and standards for promotion to the rank of professor as they are set out in section 9.2 of the same Regents policy. For a complete overview, the reader is advised to review sections 7 and 9 in their entirety. This document is also consistent with the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty*.

The document contains indices and standards for the following personnel evaluations:

- annual reviews of probationary faculty
- recommendation for awarding indefinite tenure and promotion
- annual performance appraisal for post tenure review according to Section 7a of the Regents Policy on *Faculty Tenure*

Appendix A contains the text of Section 7.11 of the Regents Policy on *Faculty Tenure*, which specifies the general criteria for indefinite tenure across the University. Appendix B contains the text for the guidelines for a departmental statement with respect to awarding tenure and promotion. Appendix C contains the text of Section 5.5, which specifies the conditions under which a probationary faculty member may extend the probationary period. Appendix D contains the text of Section 9.2, which specifies the criteria for promotion to professor.

## **II. Mission**

The mission of the Division of the Humanities is one of teaching, research or creative production, and service commensurate with UMM's role as an undergraduate liberal arts college of the University of Minnesota. The Division of the Humanities at UMM has responsibility for Art History; Studio Art; Communication, Media, and Rhetoric; English; French; German; Humanities; Music; Philosophy; Spanish; Theatre Arts, and co-curricular activities associated with disciplines and programs. It also shares responsibility for the European Studies, Latin American Area Studies, and Gender, Women, and Sexuality Studies majors as well as licensure programs in secondary teacher education. The Division supports interdisciplinary majors and encourages faculty to teach interdisciplinary courses and to pursue interdisciplinary research.

## **III. Annual Review of Probationary Faculty and Extending the Probationary Period**

### **A. Annual Review**

Pursuant to Section 7.2 of the Regents Policy on *Faculty Tenure*, each probationary faculty member's performance will be evaluated annually by the department's tenured voting faculty to determine a recommendation of continuation in rank, promotion, or termination. The Chair of the Division of the Humanities shall ensure that there is systematic annual collection of information about the work of each probationary member of the Division faculty. This is carried out by the faculty member with the cooperation and assistance of the Chair or appointed deputy who will meet with the faculty member to review the file. The review file thus assembled is then made available in the Division Office to the tenured faculty members for their inspection at least ten days before the meeting in which the annual review is discussed. Each member of the tenured faculty will be notified of the availability of the files and the date and time of the review meeting.

A summary of the tenure committee's evaluation will be written by the division chair and/or chair's designee and given to the candidate. This will be followed by a mandatory meeting between the division chair and faculty member to discuss the review and its recommendation. This written summary is provided on President's Form 12 and is signed by the candidate, the chair of the division, and the Vice Chancellor and Dean for Academic Affairs and/or Chancellor.

## **B. Extending the Probationary Period**

Section 5.5 of the Regents Policy on *Faculty Tenure* allows probationary faculty who meet the guidelines to request a one-year extension of their probationary period for childbirth/adoption, caregiver responsibilities, or medical reasons. See Appendix C for the text of Section 5.5.

Annual appraisal of faculty is required even if the tenure clock is stopped. Stopping the tenure clock must be taken into account during an annual appraisal of probationary faculty. However, when considering the overall record of probationary faculty who have stopped the tenure clock, criteria for promotion and tenure are no different than the criteria for those who do not have an extension to the tenure clock. An extension of the probationary period cannot be a negative factor in a tenure case. (See Appendix C).

## **IV. Conferral of Indefinite Tenure**

The Regents Policy on *Faculty Tenure* mandates that all faculty who receive indefinite tenure must satisfy the University's criteria for teaching, research/creative production, and service and uphold its academic integrity. The conferral of indefinite tenure is primarily determined by the criteria of teaching and research/creative production; service is an important but secondary criterion in the tenure decision. The relative weight placed on the three criteria varies among the various units of the University; the University of Minnesota, Morris expects that candidates for indefinite tenure will be strong to excellent in both teaching and research/creative production. In addition, the pattern of performance should indicate, by its consistency, that the faculty member is likely to contribute to both activities during the remainder of her or his tenured career at levels no less proficient.

Judgment of strength in teaching and research/creative production is based on assessment of qualitative and quantitative factors, as detailed below. The elements below are not meant to be a checklist for a successful tenure decision, but instead examples of evidence that can be used to evaluate performance. The qualitative and quantitative standards for tenure and promotion must be met by faculty regardless of extensions of the probationary period (according to Section 5.5 of *Faculty Tenure*) or early consideration for promotion. See also the "General Criteria for Promotion," section 7.11 of the Regents Policy on *Faculty Tenure* (Appendix A).

## **A. Teaching and Advising**

Effectiveness in teaching, including the academic advising of individual students, is essential at UMM. Those under review are expected to have a substantial and on-going record of effective teaching. Activities such as directing the Writing Room or the Language Teaching Center; curating the Humanities Fine Arts (HFA) Gallery; leading a study abroad program or a music performance tour; or directing individual student projects such as Morris Academic Partnerships (MAPs) and internships, are also considered contributions to teaching.

The following criteria will be used by tenured faculty to determine the quality of a candidate's teaching:

### **Material that must be considered:**

- The candidate's statement of teaching and advising philosophy.
- Teaching effectiveness as evidenced by peer review. Peer review includes evaluation of teaching materials (including but not limited to syllabi, course websites, assignments, examinations, creative activities, etc.) as well as direct observation of classroom instruction by tenured faculty both within and outside of the instructor's discipline.
- Student evaluations of each course taught by the candidate, including both written remarks and quantitative data. In addition, ten evaluation letters from former students will be sought by the Division Chair from a list of names provided by the candidate; these letters will be included as part of the candidate's file.

### **Material that may also be considered:**

- Contributions made to the curriculum of the Discipline, including but not limited to:
  - Development of courses, course sequences, new areas of instruction, major/minor sequences.
  - Interdisciplinary work, public engagement, international activities and initiatives, and attention to questions of equity and diversity.
  - Use of technologies to enhance student learning
  - Service learning or community-based learning/research

- Grants received for curricular development or for the preparation of instructional units. Grants alone, however, do not suffice; the successful completion of the project shall also be considered.
- Teaching awards received and other formal recognitions of teaching excellence, such as invitations to present on pedagogical practices.
- Evidence of engagement with pedagogical development, such as attending workshops or conferences.
- Evidence of effective pedagogical tools and techniques.
- Textbook authorship.
- Development of teaching tools, including but not limited to technology-based media, that are adopted by others.
- The quality of and contribution to undergraduate advising, such as evidence from advising evaluations, participation in advising-related events, advising awards, as well as participation in such activities as Honors theses, student performances, student exhibitions directed studies, MAPs, UROPs, McNair Faculty Research Mentorships, Multi-Ethnic Mentorships, internships, and practica.

## **B. Research and Creative Production**

Excellence in teaching must be accompanied by a strong and consistent record of scholarly or creative productivity and a cohesive research or artistic program. In the Humanities, the category of research/creative production encompasses a broad range of activities, including: scholarly or creative presentations and publications; artistic performances, exhibitions, or other creative work.<sup>1</sup>

Research and creative activities should be consistent with an individual faculty member's appointment and are expected to make a significant contribution to the faculty

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<sup>1</sup> Faculty in the Division of the Humanities include both those in research publication fields and those in performing/creative arts; the latter group may include directors, actors, stage designers, playwrights, choreographers, musicians, composers, conductors, studio artists, and creative writers. The traditional venue for demonstrating productivity in these areas is the creation of publicly-received artwork, for instance as a performance, an exhibition, or a publication. The MFA is the terminal degree in Art; Music and Theatre faculty may hold an MFA, a PhD, a DMA, or equivalent achievement determined at time of hiring.

member's field. The quality, quantity, annual evidence of engagement with the candidate's field, and future potential for scholarly/artistic contributions are considered.

The following criteria will be used by tenured faculty to determine the quality of a candidate's research or creative activity:

**Criteria that must be considered, as appropriate to candidate's field:**

- The candidate's research/artistic statement.
- The record of scholarly/creative productivity, including, as appropriate to the candidate's field:
  - Publication<sup>2</sup> (i.e., books, book chapters, journal articles, literary publications, translations, book reviews, reports).
  - Single authored works are most highly valued and are considered essential.
  - The Division also values and encourages collaborative research and creative activities with professional colleagues and with undergraduate students.
  - Translations in peer-reviewed publications will be considered. Translations of previously untranslated works or especially innovative ones will generally receive more weight.
  - Publications concerning teaching, teaching methods, or other pedagogic subjects will be considered.
  - The Division also recognizes the merit of published edited work, but will determine the significance of such efforts on a case by case basis.
  - presentation of research or creative activity at conferences, exhibitions, or other notable venues. Participation in juried events or invitations to present are of greater importance than participation in non-juried venues, and events with national or international stature or reputation generally receive more weight than those at venues with regional or local stature.

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<sup>2</sup> A written work is considered to be published when it satisfies two standards: it is under contract, and in production. The candidate is asked to produce the actual contract or another form of evidence showing the work has been accepted for publication. A book, journal article, or book chapter will be considered in production when a letter from the director or editor is sent and states that the work has met all of the following criteria: a) has gone through all rounds of reviews; b) all corrections/revisions have been completed; c) the fully completed/revised manuscript is in the hands of the press or journal; d) the press or journal has put it on a production schedule.

-evidence of the development of new works, of innovative techniques in rehearsals/performance, of curatorial practice, of one-person or collaborative or interdisciplinary group exhibitions and productions, of stage directing, choreographing, designing, or producing audio or video recordings.

-artistic performance<sup>3</sup> (including directing or conducting), exhibition, recording, or broadcast. Note that such events at venues, studios, labels and networks with national or international stature or reputation generally receive more weight than those at venues with regional or local stature.

-invitation to or selection from a large pool of available artists to perform in, direct, design, or choreograph a production; compose a work that receives distinguished performance; or to exhibit alone or as part of a group. Also to be considered as contributing factors are invitations for visiting artist residencies, workshops and requests to jury the work of others.<sup>24</sup> Further evaluation of distinction regarding level of achievement may include reference to:

- a. the reputation of the theatre company, music group, gallery, or presenting institution (one measure of this could be the national visibility of a venue, e.g., one that hires artists of national reputations from a national pool, is reviewed in national publications, receives national honors and awards, and/or does national tours or invitational performances)<sup>35</sup>;
- b. the relative significance of solo, invitational, group and juried exhibitions, readings, or performances (with consideration of variables specific to the production and the onsite installation or performance requirements of a particular medium);
- c. the reputation of collaborators on the project;
- d. the innovation of the project or collaboration and ability to create new directions or significant experimentation within the field.

-directing/performing/exhibition experiences with UMM students off campus, at venues of state, regional and/or national significance, will receive consideration, including such events as invited performances by a UMM group led by a faculty member at state, regional, or national conventions. These experiences should be

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<sup>3</sup> Exhibitions listed as forthcoming qualify as either accepted--selected by a jury--or scheduled/curated by an organization, institution or art space. Exhibitions, once installed and open to public viewing, are considered equivalent to publication.

<sup>4</sup> Venue will be a consideration. Music adjudication, for instance, at the state and national level may count as a contributing factor in determining professional achievement. Regional adjudication may also count to a lesser degree, but sectional adjudication will count as service.

<sup>5</sup> Nonprofessional, local, or regional productions/exhibitions/performances will be weighted more heavily if they are favorably appraised by an evaluator of high reputation.

invited and/or competitive, and should be significant in the eyes of colleagues on and off campus. Significant preparation (e.g., rehearsal) and public performance/exhibition must be part of the experience.

-directing/performing/exhibiting on campus may also be considered, particularly in the case of significant performances/concerts/exhibitions to which the University community and public are invited and for which external peer evaluation may be sought. Public performance of new works can be considered, particularly if the performance helps establish the piece within the repertoire for a particular group, although this aspect would need to be documented and confirmed by external evaluation. (Service performance, such as performing at commencement or providing incidental music for a function or a pep band at athletic events will generally not be considered in this area; rather, these types of performances would be considered as service.)

- Internal evaluation by members of the tenure committee.
- External evaluation by established scholars/artists in the field.

**For candidates in research fields or creative writing:**

In the tenure-decision year, five external reviews will be sought in accordance with the procedures outlined in section 12 of the *Procedures for Reviewing Candidates for Tenure and/or Promotion*. No fewer than four of these external reviews must be obtained from individuals with no direct professional or personal interest in the advancement of the candidate's career (for example, they should not be former advisors, mentors, co-authors, investigators, or collaborators).

**For candidates in performance or artistic fields:**

Recognizing the importance of directly experiencing creative work in music, theatre, and studio art, the Division will seek external reviews of particular performances or exhibitions whenever possible, acquiring at least two and up to five such reviews during the probationary period. In the tenure-decision year, five external reviews will be sought in accordance with the procedures outlined in section 12 of the *Procedures for Reviewing Candidates for Tenure and/or Promotion*. Reviewers will be asked to evaluate the candidate's overall professional distinction by considering the body of work produced during the tenure period. Published reviews of the artistic work are supportive evidence of the artist's contribution but are not a substitute for peer review.

*\*As soon as such a significant performance event is scheduled, the Division Chair should be notified so that external evaluation may be considered.*



### **Criteria that may also be considered, as appropriate:**

- Recognition by national or international learned societies, organizations, and other institutions of learning, such as awards, invitations to present, perform, or engage in creative residencies at other institutions, invitations to review others' work, and references to the candidate's work by other scholars in the field.
- Selection for and membership in professional unions and organizations that are not service-oriented (e.g., United Scenic Artists of America, Actors' Equity Association, Society of Stage Directors and Choreographers).
- The ability to gain grants, fellowships, commissions, and other funding, and to effectively utilize that funding to demonstrably advance one's scholarly or creative agenda.
- Interdisciplinary work, public engagement, international activities and initiatives, and attention to questions of diversity.
- Any other evidence that documents the effectiveness of research and creative activity.

### **C. Service**

As defined by the Regents *Tenure Policy*, service may be professional or institutional. Professional service is that provided to the profession, or to the local, state, national, or international community, based on one's area of academic expertise. Service to the profession is assessed by participation in such activities as administrative work for organizations in one's field, organizing a conference panel, or serving as an adjudicator of creative performances and exhibitions or reviewer of scholarly writing. Service to the community is assessed by public engagement activities relating to one's academic expertise. Institutional service comprises participation in UMM and/or all-University committees and related structures, advising student organizations, and the undertaking of other leadership activities within the University (for example, serving as a discipline coordinator, on a search committee or the Assessment Council). Service is considered an integral and valuable aspect of one's professional duty as a member of the faculty; however, an exemplary record of service alone will not be considered a sufficient prerequisite for tenure. The *Faculty Tenure* policy holds that only modest service to the University should be expected of probationary faculty.

## **V. Promotion**

### **A. Assistant Professor**

Promotion to the rank of assistant professor is dependent upon completion of the terminal degree appropriate to one's field.

### **B. Associate Professor**

Promotion to the rank of associate professor is based upon: demonstrated effectiveness in teaching and advising students; professional distinction in creative endeavors or research; professional, University, and discipline-related service; and academic integrity consistent with the criteria for tenure.

### **C. Professor**

Promotion to the rank of professor is based upon: demonstration of continuing excellence in teaching and advising; significant addition to a record of scholarly or creative achievement; establishment of a national and/or international reputation in one's field; service to the profession and the University, as well as leadership in the campus community; and ongoing demonstration of the academic integrity expected of all faculty members. See further Appendix D, "Criteria for Promotion to Professor," section 9.2 of the Regents Policy on *Faculty Tenure*.

## **VI. Review of Tenured Faculty Performance**

### **A. Introductory Statement**

Section VI of this document, Review of Tenured Faculty Performance, is an implementation of the University of Minnesota Regents Policy on *Faculty Tenure* (Section 7a), as described in detail in the *Rules and Procedures for Annual and Special Post-tenure Review* approved by the Tenure Subcommittee of the Senate Committee on Faculty Affairs January 5, 1998; and revised by the Tenure Subcommittee March 5, 1998.

### **B. Goals and Expectations**

In accordance with Section 7a.1 of the Regents Policy on *Faculty Tenure*, the Division of Humanities has established the following goals and expectations for

tenured faculty.

Humanities faculty holding indefinite tenure are expected to 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. Faculty will, on an annual basis, be expected to demonstrate vitality and achievement in all three functions, and the goal of post-tenure review is to enhance the performance levels of all faculty members in these three functions. Faculty have the right and responsibility to explain and/or comment upon their annual activity.

The Division recognizes that the balance among the functions of teaching, research, and service may shift over the professional lifetime of a given faculty member. Faculty members may negotiate with the Division chair, preferably in advance, to adjust their distribution of effort percentages. Any such agreement will be documented (and signed by both faculty member and Division Chair) and will serve as the basis for subsequent annual reviews until further revision.

**Teaching and Advising** Each year faculty will demonstrate that they continue to be effective teachers and advisors. Faculty will provide an annual summary of/comment on teaching and advising and an annual statement of teaching/advising goals for the next year. A statement of teaching and advising philosophy (to be updated at least every 5 years) will also be reviewed annually. The minimum expectation is that evidence of effective teaching will include:

- Standard student rating of teaching measures, including both written remarks and quantitative data, with no less than an average in the midrange of “somewhat agree” for all six questions for all classes taught in a three-year period and written remarks that in the majority suggest preparedness, clarity, respect, and other positive responses.
- Positive evaluation by peer review (of such things as syllabi and class materials, as well as in direct observation of classroom instruction).
- Academic advising of students annually, and advising at least once every five years of student research/creative projects, such as Honors theses, performances, exhibitions, MAPs, UROPs, internships, practica, etc.

Evidence may also include:

- Curricular innovation such as the development of new courses/materials, the use of new teaching strategies, or grants received to effect such changes.

**Research/Creative Production** The Division expects every tenured faculty member to continue to be engaged in scholarly research and/or creative work, as demonstrated in an annual report of activities and a statement of research/creative production goals for the next year. A research/artistic statement (to be updated at least every 5 years) will also be reviewed annually. The minimum expectation is that one or more of the following will be accomplished within any three-year period:

- Publications or evidence of significant progress toward publication (i.e., books, book chapters, journal articles, literary publications, reviews, reports), particularly in peer-reviewed venues.
- Presentation of research/creative activity at conferences, exhibitions, or other notable venues. Other forms of participation at such events may also be considered.
- Awards, grants, fellowships, commissions, and other funding, as well as other professional recognition.
- Evidence of the development of new works, innovative techniques in rehearsals/performance, curatorial practice, one-person or collaborative or interdisciplinary group exhibitions and productions, stage directing, choreographing, designing, and producing audio or video recordings.
- Artistic performance, particularly with national or international visibility.
- Invitation to or selection from a large pool of available artists to perform in, direct, design, or choreograph a production, to compose a work that receives distinguished performance, or to exhibit alone or as part of a group. Also to be considered as contributing factors are invitations for visiting artist residencies, workshops and requests to jury the work of others.
- Directing/performing/exhibition experiences with UMM students off campus, of state, regional and/or national significance, particularly in invited and/or competitive venues.
- Directing/performing/exhibiting on campus, particularly in the case of significant performances/concerts/exhibitions to which the University community and public are invited and for which external peer evaluation may be sought.

**Service** While service and outreach are not the primary criteria on which the tenure decision rests, the Division expects that faculty holding indefinite tenure will engage in service and outreach activities that both build on and take advantage of

the strength of UMM and its faculty. The minimum expectation is that evidence of service or outreach will be documented in the annual report of activities through one or more of the following:

- Active participation in discipline, division, campus, and/or University governance, including service on at least one campus or University committee yearly or a substitution approved by the Division Chair.
- Service to professional organizations.
- Other campus service, such as to Admissions or as an advisor to a student group.
- Public service or community outreach which draws on the faculty member's professional expertise.

### **C. Procedures for Post-Tenure Review**

1. Each spring, each faculty member must submit to the Division Chair a summary of activities in teaching, scholarly research or creative production, and service during the past year, as well as a general plan for future work (see VI.B above).
2. The Division Chair meets with each faculty member to discuss performance and plans. Based on this discussion, the Division Chair and faculty member may agree to shift the individual's balance between teaching, research/creative production, and service by which the faculty member's performance will be assessed in the coming year. A written record of this meeting will be given to the faculty member, and a copy signed by both the faculty member and the Division Chair will be kept on file in the Division office.
3. In accordance with Section 7a of the Regents Policy on *Faculty Tenure*, faculty performance deemed below minimum expectations in any of the three areas for three consecutive years would then be referred by the Chair to the Division's elected Faculty Review Committee.
4. The Faculty Review Committee consists of three members and an alternate elected each fall by the tenured faculty of the Division. They will have a three-year term. At least two members will be at the rank of professor. The alternate shall hold the rank of professor and serve if a committee member is the subject of a review or is otherwise unable to serve.
5. If the Faculty Review Committee disagrees with the assessment of the Division Chair, a letter will be sent to the Chair and to the faculty member explaining the decision, and no further action is taken. If the Review Committee concurs with the

Chair that the faculty member's performance is substantially below the goals and expectations of the Division of Humanities, a letter, signed by both the chair of the review committee and the Division Chair, will be sent to the faculty member stating the grounds for that finding. The letter will specify the deficiencies, identify ways to remedy them, and state that, no later than one year from the date of the letter sent to the faculty member, the faculty member must show progress toward correcting the deficiencies. The Division Chair and members of the review committee will work with the faculty member through mentors or other resources to improve performance during that time.

6. At the next annual review, and, at the time of one year from the date of the letter to the faculty member, the Division Chair and the review committee will assess the faculty member's performance. If they again find that performance is substantially below the goals and expectations of the Division of Humanities at the one-year mark, they will submit a letter to the Vice Chancellor for Academic Affairs and Dean, along with a copy of the materials they have reviewed, that sets out the findings and requests the Dean to initiate a special review. A copy of this letter will be sent to the faculty member.

7. The Dean will independently review the file and determine whether a special review is appropriate. If the Dean so determines, the Dean will designate faculty members for a special review panel and conduct the review according to the guidelines in Section 7a.3 of the Regents Policy on *Faculty Tenure*.

## Appendix A

### General Criteria for Promotion

#### **Subsection 7.11 of the Regents Policy on *Faculty Tenure* (2007) 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.



## **Appendix B**

### **7.12 Departmental Statement. [6]**

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.

## Appendix C

### Extending the Probationary Period

**5.5 Exception for New Parent or Caregiver, or for Personal Medical Reason.** The maximum period of probationary service will be extended by one year at a time 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. [2] The term "family member" is meant to include a spouse or domestic partner, or an adopted or foster child, or other relative.

## Appendix D

### Criteria for Promotion to Full Professor

**Subsection 9.2 of the Regents Policy on *Faculty Tenure*:** 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.

See the definitions of "scholarly research," "other creative work," "teaching," and "service" in footnote 4 (Appendix A). A greater contribution in the area of institutional service is expected of candidates for the rank of professor than was expected for the award of tenure.