

Guidelines for Departmental Statements Required by
Section 7.12 of the Regents Policy on *Faculty Tenure*

School of Dentistry
Department of Developmental and Surgical Sciences
(Approved by Departmental Vote 06-2011)
(Approved by the Senior Vice President for Academic Affairs and Provost DATE)

This document represents the guidelines for promotion and tenure in the Department of Developmental and Surgical Sciences within the University of Minnesota School of Dentistry, as required in the Regents Policy on *Faculty Tenure*.

The following framework is provided for the systematic evaluation of candidates for indefinite tenure and promotion.

This document describes indices and standards for the following personnel evaluations:

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I. Introductory Statement

This document describes the standards and procedures which will be used to evaluate candidates both for appointment to the faculty of the Department of Developmental and Surgical Sciences and also for continuation, promotion, and tenure. In addition, it describes the indices and standards to be used to evaluate whether candidates meet the general criteria for tenure in Section 7.11 and for promotion to professor in Section 9.2 of the Regents Policy on *Faculty Tenure*. For a complete perspective, the reader is advised to review this policy in its entirety.

The primary measure of excellence of an educational institution is the quality of its faculty. Therefore, the degree of foresight and wisdom employed in making faculty appointments and promotions and the granting of tenure will be the primary determinants of the distinction which a school achieves.

Within the School of Dentistry, the ultimate responsibility for recommending faculty members for appointment, promotion or indefinite tenure rests with the Dean. To discharge responsibility, the Dean should have the counsel of the department chairpersons and tenured faculty of the School. It is the responsibility of the faculty to participate in this process, to identify and reward scholars who demonstrate a commitment to the advancement and communication of knowledge and who show promise of pursuing productive academic careers.

For specific procedures on the process of tenure and promotion to associate professor, and promotion to the rank of professor, refer to the document *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure –Track and Tenured Faculty*, <http://www.academic.umn.edu/provost/faculty/tenure/pdf/Procedures101207.pdf>

II. Mission Statement

The specific missions of the School of Dentistry and the Department of Developmental and Surgical Sciences are consistent with the objectives of a land grant University and include teaching, research and scholarly activities and discipline-related professional service as defined in Section 7.11 of the Regents Policy on *Faculty Tenure* and this departmental document. It is a major goal of the School of Dentistry and the Department of Developmental and Surgical Sciences to establish and maintain itself as an academic center of national and international excellence. The objectives the faculty have set to address its goals and mission include the following:

- A. to educate dentists, dental specialists and dental hygienists who will provide the highest standard of care.
- B. to provide a program of training and instruction for educators, clinicians, and researchers who will provide future leadership in academics, professional organizations, and corporate communities.
- C. to develop new knowledge and understanding in both basic and applied dental and socio-behavioral sciences.
- D. to serve patients by providing optimal care including preventive care, improved modes of health care delivery, patient counseling and education, and the best possible diagnostic and treatment services, particularly for those with unusual or difficult problems.
- E. to serve the public by providing outreach programs of care, prevention and health education for special groups, and consultative and educational programs for the public, health practitioners and agencies in Minnesota, the United States and the international community.
- F. to foster/promote/participate in interdisciplinary teaching, research and service within the health care and University communities.

The Department of Developmental and Surgical Sciences addresses the above goals utilizing a multidisciplinary approach with emphasis on prevention, public health, dental care delivery systems, and public policy as well as those aspects of direct patient care

involving evaluation and management of diseases or conditions of the oral and maxillofacial regions, management of diseases and conditions associated with tooth supporting tissue, evaluation and management of malocclusion, and management of the child patient, cleft palate and craniofacial disorders.

To be awarded indefinite tenure and to be considered for promotion, a faculty member will be expected to have demonstrated effectiveness in accomplishing these objectives. It is the expectation that the long-term goal of faculty is to achieve the rank of full professor. University-wide criteria for promotion to the rank of full professor is described in Section 9.2 of the Regents Policy on Faculty Tenure (Appendix III, attached).

III. Annual Appraisals of Probationary Faculty

The primary criteria for the continuation of probationary faculty is the satisfactory progress towards meeting the criteria of tenure. All of the criteria and guidelines used by the Department for annual continuation reviews are contained in this document (Department of Developmental and Surgical Sciences 7.12 Statement).

A. Tenure Policy

The general criteria for tenure are found in the Regents Policy on *Faculty Tenure*, Sections 7.11 and 7.12 (Appendix I, attached). New faculty should carefully read and understand this document, particularly Sections 5, 6, and 7. The General Rule Section 5.1 concerns those with probationary appointments and states that “the maximum period of probationary service of a faculty member is six academic years, whether consecutive or not. At the end of this six-year period, the faculty member must either be given a regular appointment with indefinite tenure or a one-year terminal appointment.” However, because of the time required for processing the applications for tenure, the actual decision to award indefinite tenure is made during the sixth year. Granting of indefinite tenure may be made prior to the expiration of the maximum period of probationary service.

B. Departmental Procedures for Reviewing the Performance of Probationary Faculty

Procedures are adopted in accordance with sections 7.4, 7.61, and 16.3 of the *Faculty Tenure* policy and are consistent with *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty*, , <http://www.academic.umn.edu/provost/faculty/tenure/pdf/Procedures101207.pdf>

- i. Annual review process – Tenured faculty will meet annually to review and discuss each probationary faculty member’s performance relative to the 7.12 Statement. The annual review of probationary faculty will be recorded on the President’s Form 12 and will reflect the faculty member’s performance relative to the 7.12 Statement. If a faculty member has extended his or her probationary period, this must be noted on the President’s Form 12 during the annual review. The Academic Unit head (Department chair) will meet annually with each probationary faculty member to review his/her completed Form 12. The Academic Unit head (Department chair) and faculty member will sign the completed Form 12. The Form 12 is forwarded to the dean for review, comment, and signoff. Then the Form 12 is forwarded to the senior vice president for academic affairs and provost for review, comment, and signoff. The signed Form 12 will be kept in the probationary faculty member’s personnel file.

In the department, the probationary faculty member will provide materials that document his/her progress towards achieving tenure. The Department Chair will assemble the materials into a Tenure File for the probationary faculty member. The file will be distributed to the tenured faculty in the department prior to the annual meeting. The tenured faculty will critically review the progress of the probationary faculty at the Department's annual tenured faculty meeting. A formal ballot for consideration of the probationary faculty member for tenure or for termination of the appointment will not be taken until the completion of the third year on tenure-track. After review and approval by the Department's tenured faculty, the Department Chair will candidly discuss with the probationary faculty member his/her progress toward achieving tenure and any recommendations made by tenured faculty. A copy of the annual Appraisal of Probationary Faculty Form 12 will be given to the probationary faculty member. The Department Chair will place the Appraisal of the Probationary Faculty report and a written summary of any additional matters discussed in the faculty member's permanent file. The summary will indicate the date and time of the meeting.

- ii. Required materials – The Department Chair will assemble the required materials into a Tenure File for the probationary faculty member. This file, which contains only materials relative to tenure, will become part of the probationary faculty's permanent file. The Tenure File will be available to the Department's tenured faculty and the probationary faculty member upon request.

The Department Chair will request from the probationary faculty:

- a. A current Curriculum Vitae and annual activity report
- b. Summary of teaching assignments for the year under review including student and peer evaluations
- c. Summary of scholarly activity for the year under review including copies of published manuscripts, published abstracts, and title and abstract pages of submitted or funded grant applications
- d. Summary of scholarly presentations including abstracts and evaluations of presentations where appropriate
- e. Summary of discipline-related service activity
- f. Summary of supplementary criteria such as participation in the governance of the Department, AHC, University, or professional organizations
- g. Response to any previous recommendations made by the Department's tenured faculty including supporting documentation
- h. Any other relevant material relating to the satisfaction of the requirements for tenure. This may include evaluations of the probationary faculty member's teaching, research or scholarly contributions by persons inside and outside of the University
- i. The Department Chair will add copies of the Appraisal of Probationary Faculty Form 12s for previous years to the file

If there is not sufficient evidence of satisfactory progress and it appears unlikely that the candidate will reach the standards for promotion/tenure by the end of the probationary period, the faculty may vote to discontinue the candidate.

- iii. Joint appointments – probationary faculty members who have appointments in two or more units/departments will be reviewed following the procedures used for probationary faculty members whose appointment is entirely in the Department. It is expected that probationary faculty members with joint appointments will also be reviewed annually by the other units/departments in which they hold appointments. The probationary faculty member and the chairpersons of each department that the probationary faculty member has an appointment in will meet within the first 6 months of the beginning of the joint appointment to determine which 7.12 criteria that faculty member will be expected to meet.

These annual reviews will be independent of the Department's review unless all involved units/departments: 1) agree to hold a combined annual review of the probationary faculty member, 2) establish the procedures for the reviews, 3) set the criteria for achieving tenure and promotion, and 4) inform the probationary faculty member in writing of the review process and any modifications to the unit/department 7.12 Statements.

If the annual reviews are carried out independently, the outcomes from other unit/department annual reviews will not be considered in this Department's review; however, materials from interdisciplinary work may be included in the probationary faculty member's Tenure File and they will be considered in the Department's review. A probationary faculty member with joint appointments is expected to meet all of the criteria for tenure and promotion.

C. Extending the Probationary Period

It is the expectation within the School of Dentistry that faculty members who have been awarded the rank of Associate Professor with indefinite tenure, as well as those who are probationary, will continue to progress in his/her intellectual distinction and academic integrity, ultimately achieving promotion to the next higher rank. Certain qualifying circumstances, having an extenuating effect on the faculty member's ability to devote full attention to the pursuit of promotion and/or tenure, serve as the basis for extending the probationary period. Such qualifying circumstances are outlined in Section 5.5 of the Regents Policy on *Faculty Tenure* (Appendix II, attached).

IV. Conferral of Indefinite Tenure

The basis for awarding indefinite tenure is the determination that the candidate 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. The candidate should demonstrate that he or she will continue to contribute significantly to the mission of the Department, the School of Dentistry and the University, and to its programs of teaching, research and service over the course of the faculty member's academic career (see Section 7.11 of the Regents Policy on *Faculty Tenure*, Appendix I attached). The primary criteria for demonstrating this potential are effectiveness in teaching and distinction in research. Outstanding discipline-related and professional/community service contributions will also be taken into account where appropriate (see Section IV.C., below) as they are an integral part of the mission of the School of Dentistry. Tenure review will be based on the percentage of time allocated in his/her appointment to teaching, research, and service. Although the relative importance of the teaching and research criteria may

vary within different departments of the School of Dentistry and for each individual, each criterion must be considered in every decision.

A. Teaching

Teaching includes group and individual instruction in classrooms, clinics and laboratories with predoctoral, postgraduate and/or graduate students, and instruction in continuing education programs. Credit is given for all educational effort, including efforts to upgrade the curriculum and provide unique educational opportunities. Our teaching role extends throughout Minnesota, the region and beyond. Tenure is reserved for candidates who demonstrate effectiveness in teaching. Effectiveness in teaching will be reviewed and evaluated with respect to the following:

1. Content – Information presented should be current and accurate, as determined by peers and the scientific information available. It should be pertinent to the discipline and complete so as to conform to the objectives of the overall curriculum.
2. Organization – Information should be presented in a logical sequence that is understandable to the student. The actual teaching methods are at the discretion of the faculty member. Multidisciplinary subject matter should be effectively coordinated.
3. Examinations – Examinations should measure student competency and be graded in a timely manner.
4. Communication Skills – The ability to successfully convey information depends on verbal and written communication skills. These include, but are not limited to, proper and comprehensible use of language, enthusiasm and the pace of presentations.
5. Curriculum Development – A very positive endeavor for a candidate includes new course development and/or participation in overall curriculum development. The candidate's role in these endeavors must be delineated. Curriculum development is optional for tenure.
6. Advising – Candidate should list number of advisees, if any, indicating clearly what role was played and to what end for the students, ex. Masters, Ph.D., resident research, predoctoral and/or undergraduate research. Candidate should participate in review of other students via examining committees. Additional support may include: teaching or advising awards, copies of teaching materials developed, self-evaluation of teaching and advising effectiveness, additional student evaluations (optional), and a list of significant accomplishments by advisees.

Effectiveness in teaching will be reviewed by (1) peer evaluations (which may include classroom visits and review of technical competence, notes, syllabi, handouts, examinations and other learning/teaching aids); (2) evidence that the individual attempts to improve teaching skills and performance when appropriate; and (3) student evaluations (required for every candidate and should be conducted on at least an annual basis). Student evaluations will be reviewed in conjunction with other data,.

Documentation of Teaching Effectiveness

Evaluation of a candidate's achievement of the aforementioned standards will be based on a review of evidence provided during the candidate's probationary period. Each faculty member will be responsible for documentation of teaching effectiveness:

1. A teaching narrative with a brief description of accomplishments.
2. A spreadsheet or table representing teaching responsibilities. This should include detailed data on numbers of lectures per semester, year taught, title and level, number of students, format including lecture, clinic, lab, discussion, and seminar, the level of participation, including course direction and number of lectures.
3. A summary of teaching effectiveness over time including student and peer evaluations.

B. Research/Scholarly/Creative Activities

Each faculty member will be expected to develop and demonstrate his/her ability as an independent investigator in ongoing projects (e.g. clinical, laboratory, behavioral or educational investigations), or other creative work resulting in innovative products, practices, and ideas of significance and value to society.

The research and scholarly accomplishments of each candidate for promotion and/or tenure will be reviewed annually by his/her departmental chairperson. This review with the candidate will include an assessment of progress toward fulfilling the requirements for promotion and/or tenure. Distinction in research and/or scholarly productivity must be apparent.

For promotion and tenure, a candidate's research and scholarly accomplishments will be reviewed by peers from the Department, University, and other institutions. The research efforts of a candidate will be assessed by evaluation of the publications resulting from the research work. Publication of research results in recognized refereed journals provides clear evidence of scholarly activity. In multi-authored articles, collaborative programs, projects, or grants, the contribution of the individual under review should be specifically described and evaluated. While each faculty member will be expected to contribute to the literature in an ongoing manner, quality rather than quantity of publications will take precedence in promotion and/or tenure decisions. Widely used textbook chapters, review articles and instructional materials are examples of scholarly activity which may be evidence of national and international recognition of the author's expertise in a field and will be given appropriate consideration when they are part, but not the total, of an individual's scholarly productivity. Similarly, case reports are complementary to an individual's scholarly activities but may not comprise the major extent of his/her scholarly endeavors.

Evidence to document research/scholarly/creative activities will include:

1. External and internal evaluations – Letters critically reviewing the probationary faculty member's scholarly works are required.
 - a. Criteria for external evaluation letters:

- i. A minimum of eight (8) letters from reviewers external to the University of Minnesota.
 - ii. Letters are to come from distinguished faculty members at a rank higher than the faculty member. Letters from highly regarded non-academics may be considered.
 - iii. Letters are to be from individuals that do not have a personal relationship with the probationary faculty member. These relationships include: advisor, mentor, co-author, collaborator, or past co-worker. The reviewer's professional standing and relationship to the probationary faculty member, if any, must be provided.
- b. Criteria for internal evaluation letters
Criteria for the internal evaluation letters are the same as those for the external letters with the exception that there is no minimum number required.

The candidate should show evidence of having mastered his/her discipline and the ability to carry out independent inquiry. Evidence of research ability should include publications in peer-reviewed journals relevant to the development or application of his/her discipline. The School of Dentistry values collaborative research among its divisions and across academic units within the Academic Health Center and the University at large.

Given the broad and varied expertise within the department, letters from external reviewers, the department chair, and department faculty will be considered when judging the quality of the journals most relevant to a candidate's area of expertise. Additional evidence includes contributions toward the development of a funded research program, including competitively awarded grants. In reviewing an individual's scholarly activity, there should be evidence of sustained performance.

C. Service

1. Discipline-Related Patient Service

Faculty in the Department may be called upon to provide professional service as part of his/her role in fulfilling the mission of the Department. This service may be in addition to his/her clinical teaching responsibilities and paramount to maintaining a sound teaching and research program. Outstanding discipline-related patient service will be recognized as an important contribution in promotion and tenure decisions. Outstanding discipline-related patient service will be peer evaluated for its impact in raising the quality and standards of care within the profession.

2. Professional/Community Service

The quantity and quality of the candidate's service functions, such as participation in the governance of the School of Dentistry and the University, participation in professional organizations, state and federal agencies, and community health care projects will be taken into consideration.

D. Extending the Probationary Period

Certain qualifying circumstances, having an extenuating effect on the faculty member's ability to devote full attention to the pursuit of promotion and/or tenure, serve as the basis for consideration of extending the probationary period. Such qualifying circumstances are outlined in Section 5.5 of the Regents Policy on *Faculty Tenure* (Appendix II, attached).

E. Mentoring of Probationary Faculty

A senior faculty member will be assigned to serve as a mentor for each probationary faculty member. The mentor will advise the probationary faculty member on a regular basis and serve as his/her advocate as appropriate.

Each year the faculty will, in consultation with his/her mentor, prepare a written summary of his/her accomplishments in research (publications, grant support), teaching and service. The Department Chair will annually meet with each probationary faculty member to evaluate his/her progress, make suggestions for improvement, if necessary, and agree upon goals for the future. The Department Chair and probationary faculty member will agree upon the faculty member's distribution of effort among research, teaching and service for the coming year. The mentor may attend the meeting or be consulted at a different time. A written record of the Department Chair's evaluation will be provided to the probationary faculty member and the mentor, and a copy will be put in the faculty member's file.

V. Promotion

A. Assistant Professor (from non-tenure track position)

In the SOD, these are entry-level appointments (i.e., SOD does not have faculty promotions into the assistant professor rank).

B. Associate Professor

Promotion to Associate Professor is associated with a decision concerning tenure. Granting of tenure commits the University to the faculty member in a contractual arrangement for a lengthy period, and should be based on clear evidence of the capacity to contribute to the missions of the Department and the School of Dentistry in an original fashion throughout that career.

Promotion to Associate Professor with tenure is reserved for individuals who have demonstrated:

1. effectiveness in teaching (see Section IV.A.).
2. distinction in independent research and/or scholarly activity (see Section IV.B., above).
3. outstanding discipline-related patient service and professional/community service where appropriate (see Section IV.C.).

C. Professor

Professor is the highest academic rank attainable and is reserved for those individuals who demonstrate superior achievement in his/her field. It is expected that all Associate Professors will aspire to achieve the rank of Professor. Promotion to Professor will be based on evidence of advanced academic scholarship and maturity in teaching, distinction in research, outstanding discipline-related service where appropriate, and other service to the University, local and national/international community, as is outlined in Section 9.2 of the Regents Policy on *Faculty Tenure* (Appendix III, attached).

In addition to the standards for promotion to Associate Professor with tenure, the following criteria must be met:

1. growth in teaching skills and integration of teaching and research activities.
2. national/international distinction in research and/or scholarly activity, including funded research.
3. discipline-related patient service (where appropriate) must be clearly outstanding, nationally recognized, demonstrably effective and offer skills not usually available in the local community of clinicians (see Section IV.C.1.).
4. other professional/community service activities are expected of all candidates (see Section IV.C.2.). In contrast to lower ranks, candidates for promotion to Professor are expected to actively participate in governance activities of the Department, School and/or University. The quality of service in governance activities will be assessed by solicitation of written evaluations from Department and committee chairs.

VI. Post-Tenure Review

- A. The general criteria that serve as the basis for post-tenure review are cited in the Regents Policy on *Faculty Tenure*, section 7a., and "Rules and Procedures for Annual and Special Post-Tenure Review" approved by the University Senate Tenure Committee" (3/5/98).
- B. The purpose of the post-tenure review process is to affirm and maintain a faculty member's viability through review and recognition of his/her contributions by peers and administrators. The secondary purpose is to improve, if necessary, the performance of each tenured faculty member in the areas of teaching, research and service. Tenured faculty members must meet the goals and expectations for faculty in the School of Dentistry. These goals and expectations are:

Tenure is granted with the expectation of continued professional growth and productivity, and every tenured faculty member has a responsibility to maintain professional competence. Tenured faculty are expected to contribute significantly to the mission of the Department of Developmental and Surgical Sciences within the University of Minnesota School of Dentistry.

The goal of the post-tenure review is to identify faculty who are performing substantially below expectations of their rank and to initiate a process encouraging

low-performing individuals to regain academic vitality and productivity at a level expected within the Department of Developmental and Surgical Sciences. The general criteria that serve as the basis for post-tenure review are cited in the “Regents Policy on Faculty Tenure”, sections 7a.1, 7a.2, 7a.3, and “Rules and Procedures for Annual and Special Post-Tenure Review” approved by the University Senate Tenure Committee (3/5/98).

Expectations for Teaching

Tenured faculty members are expected to remain effective teachers and to be actively engaged in communicating knowledge and in supervising, mentoring or advising students, in compliance with the Department workload and the University’s equal opportunity policy. It is expected that contribution toward teaching will vary between individual faculty as related to department teaching needs and responsibilities of faculty in the department.

All tenured faculty should be asked to provide evidence in directing or providing lectures for at least one course in the areas of training and personal satisfaction as assigned by the division director or department chair with respect to department curricula needs. All tenured faculty must show effectiveness in teaching as demonstrated by student evaluations, peer observation of teaching, and/or peer evaluation of course syllabi and material. Contribution and effectiveness in teaching will be determined by:

- Courses taught in the areas of training and research specialization as assigned by the division/department chair in relation to the department’s curriculum needs
- Demonstrate proficiency in understanding and valuing scientific discovery and life-long learning of a tenured faculty with students, patients and colleagues.
- Advise graduate students and serve on graduate committees

Expectations for Scholarly Activity

Effectiveness in scholarly activity is central to the mission of the Department of Developmental and Surgical Sciences within the University of Minnesota School of Dentistry. Scholarship in this context means the dissemination of creative ideas and/or research. To maintain tenure, faculty must maintain a consistent level of scholarly activity, or conduct scholarly activity of high quality.

While the extent and nature of research activity may vary over time, within any given period of three years, tenured faculty should normally be able to report a total of at least one accomplishment within one or more of the following categories:

- Publication of a scholarly book, research article, book chapter, review, or the like as either a primary or co-author
- Refereed or invited research presentation at a scholarly conference or another academic institution
- Organization of a scholarly conference, symposium, or workshop
- Grant/contract awards (or submission) to pursue research/scholarly activity in their area of research

Expectations for Service

All faculty members are expected to fulfill service obligations in the Department of Developmental and Surgical Sciences which includes School of Dentistry/University service as well as discipline-based and outreach service. Members of committees are expected to attend scheduled meetings, facilitate the work of the committee, share in the workload, and participate in decision making. Members are typically elected or appointed to committees to represent departmental interests, not solely one's own subject matter area and so should bring that broad perspective to their committee role.

1. **Service.** All faculty, regardless of appointment, are expected at a minimum to serve on at least one institutional committee a year. Institutional service may include, but is not limited to, the following:
 - a. Departmental committees
 - b. School of Dentistry committees
 - c. University committees

2. **Discipline-Based Service.** All faculty, regardless of appointment, are expected to provide service to their profession and the public. Discipline-based service may include, but is not limited to, the following:
 - a. Peer review of scholarship, promotion and tenure dossiers, grant applications, award nominations
 - b. Leadership or committee roles in professional organizations
 - c. Editing professional publications
 - d. Clinical practice

The review process has two phases: 1) the regular annual review of the tenured faculty, and 2) a second review that occurs when the regular review results in a determination that the faculty member's performance does not meet the minimum goals and expectations set by the Department.

C. Process of Annual Review (Phase I)

Tenured faculty members in the Department of Developmental and Surgical Sciences are annually reviewed by the Department Chair for accomplishments in the areas of teaching, research/scholarship/creative activity and service. Expectations for tenured faculty in teaching, research/scholarship/creative activity, and service parallel those used in awarding a faculty member his/her rank; however, flexibility is provided to take into account the different stages of professional development and to allow a faculty member to contribute more heavily to one mission of the School. A faculty member who does not meet the minimum goals and expectations for performance will be informed in writing of what is expected of the faculty member during the next year. The letter from the Department Chair states that the faculty member is at risk for a review by the Department's post-tenure review committee during the following year.

D. Below Standard Performance (Phase II)

When the annual review by the Chair indicates that faculty performance does not meet the minimal goals and expectations defined by the department for two consecutive years, the faculty member's case is referred to the Department's post-

tenure review committee (includes all other tenured faculty in the Department of Developmental and Surgical Sciences). (The inclusion of all tenured faculty of the unit on this committee precludes an election of tenured faculty members.) If the department's post-tenure review committee agrees with the department chair's determination that the tenured faculty member's performance is substantially below department goals and expectations, the Department Chair and the Committee will write a letter together to the faculty member. The faculty member will have at least one year from the date of the letter to improve performance as outlined by the committee. If the faculty member has not improved his or her performance during that time period, the Chair will request that the Dean begin a process of special peer review as described in Section 7a.3 of the Regents Policy on *Faculty Tenure*.

VII. Process for updating the 7.12 Statement

The 7.12 Statement will be reviewed by the Chairperson of the department or his designee(s) at least once every 5 years. Modifications of the 7.12 Statement will require approval by the majority of regular (tenured and tenure-track) faculty members of the department. The 7.12 statement will require additional approval by the Dean and by the Senior Vice President for Academic Affairs and Provost.

VIII. Procedures

The School of Dentistry issues annually to each department, for distribution and information to faculty members, a set of instructions, memoranda, and other documents, giving detailed information on the procedures to be followed in the preparation and consideration of each proposal for tenure and/or promotion in rank. The Academic Health Center's Office of Education has guidelines for the preparation of candidate dossiers at: <http://www.ahc.umn.edu/OofE/Faculty/PandT.html>.

The procedures used by the department of Developmental and Surgical Sciences comply with the "Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenure Faculty, ," as provided by Sections 16.3, 7.4, and 7.61 of the Regents Policy on *Faculty Tenure*

1. Continuation of Appointment for Probationary Faculty

Each summer term, probationary faculty submit to the department chair a report on the teaching, research and service activities and accomplishments he/she was engaged in or completed during the previous academic year. The tenured department faculty meet to review and discuss the report relative to the department 7.12 statement. The reviewing faculty of the department cast a secret ballot on whether the probationary faculty member has made satisfactory progress toward tenure beginning in the third year and whether the faculty member's appointment should be continued. The department chair prepares a summary of the discussion and records it on President's Form 12, along with the decision on continuing the probationary faculty member's appointment. The department chair reviews the completed Form 12, and any other information that pertains to the review, with the probationary faculty member. The Form 12 is signed by the probationary faculty member and the chair and then forwarded to the dean of the school for his/her signature and submission to the Senior Vice President for Academic Affairs and Provost. A copy of the Form 12 document is held in the probationary faculty member's file in the department and in the dean's office.

2. Initiation of Recommendations for Promotion and Tenure

Recommendations for promotion and/or tenure may be initiated by a faculty member himself/herself or by any tenured faculty member of the department. It is strongly recommended that a faculty member who believes he/she should be considered for tenure and/or promotion discuss these possibilities with his/her department chair and obtain, if at all possible, the support of the chair for consideration. A faculty member may also request the department chair to remove his/her name prior to consideration. Tenured faculty members of the department, at the rank or above that for which the faculty member is being considered, meet and review the dossier prepared by the faculty member relative to the department 7.12 Statement. The reviewing faculty cast a secret ballot separately on each decision – promotion first and then tenure.

A favorable vote of a majority of those eligible faculty voting is required to forward the dossier with a recommendation of approval. A letter to the dean is added to the dossier from the department chair that summarizes the findings, discussions, and conclusions of the reviewing faculty, the vote record, and explanation of any non-positive vote. The dossier is then submitted to the school's Promotion and Tenure Committee. Members of that committee who are at or above the rank being considered for the faculty member, review and discuss the dossier relative to the department's 7.12 document. A secret ballot is cast separately on each decision – promotion first and then tenure. The committee chair summarizes the members' discussion and reports the vote(s), in a letter to the dean. The dean reviews the dossier for completeness and prepares a letter to the Senior Vice President for Academic Affairs and Provost supporting or not supporting the recommendations of the department and the Promotion and Tenure Committee.

Appendix I

Regents Policy on *Faculty Tenure*

Section 7.11 General Criteria

and

Section 7.12 Department 7.12 Statements

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.

Section 7.12

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 of its probationary faculty members with a copy of the Departmental Statement at the beginning of the probationary service.

(6) "Departmental" refers to an academic department or its equivalent, such as division, institute, or unit.

Appendix II

Regents Policy on *Faculty Tenure*

Section 5.5 Extending the Probationary Period

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 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 twice 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, an adopted or foster child, or other relative.

Appendix III

Regents Policy on *Faculty Tenure*

Section 9.2

Criteria for Promotion to Professor

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 candidates 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 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 2, subsection 7.11. 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.