

CONSECUTIVE MEETINGS OF:

**THE UNIVERSITY SENATE
THE FACULTY SENATE**

THURSDAY, OCTOBER 4, 2007

2:30 - 5:00 P.M.

**25 Mondale Hall--Twin Cities Campus
308 Selvig Hall--Crookston Campus
Kirby Student Center Garden Room--Duluth Campus
Prairie Lounge--Morris Campus**

This is a consecutive meeting of the University Senate and Faculty Senate. There are 240 voting members of the University Senate and 164 voting members of the Faculty Senate. A simple majority must be present for a quorum. Most actions require only a simple majority for approval. Actions requiring special majorities for approval are noted under each of those items.

**1. ADMINISTRATIVE RESPONSES TO SENATE ACTIONS
Information**

University Senate

Statement on the Rights of Foreign-born Residents of the United States

Approved by the: University Senate May 3, 2007

Approved by the: Administration – no action required*

Approved by the: Board of Regents – no action required

* The University strives for flexible, speedy, and efficient procedures to bring international faculty, staff, and students to campus, and continues to assist colleges and departments that find themselves working to resolve challenging immigration situations. While the University has not adopted a formal position regarding the Military Commissions Act, members of the University community are encouraged as citizens to contact the appropriate officials to seek relevant legislative changes in this area.

CIC Provosts' Statement on Publishing Agreements

Approved by the: University Senate May 3, 2007

Approved by the: Administration August 3, 2007

Approved by the: Board of Regents – no action required

Student Development Outcomes

Approved by the: University Senate May 3, 2007

Approved by the: Administration August 3, 2007

Approved by the: Board of Regents – no action required

Minnesota Dream Act Statement

Approved by the: University Senate May 3, 2007

Approved by the: Administration – no action required*

Approved by the: Board of Regents – no action required

* The University supports efforts to make higher education fully available to all qualified Minnesota high school graduates, irrespective of their immigration status. While it is unfortunate that the Minnesota Dream Act

was dropped from the higher education bill this spring, the University continues to identify and promote other opportunities to help open the doors to higher education for all eligible Minnesota high school students.

Faculty Senate

Amendments to *Faculty Tenure* Sections 1, 5.5, 7.11, 7.12, 13, 15, and 16 and new Section 9.2

Approved by the: Faculty Senate April 5, 2007

Approved by the: Administration April 16, 2007

Approved by the: Board of Regents June 8, 2007

Constitutional Amendment – Definition of Faculty and Faculty-like Academic Professionals

Approved by the: Faculty Senate May 3, 2007

Approved by the: Administration August 3, 2007

Approved by the: Board of Regents PENDING

Student Learning Outcomes

Approved by the: Faculty Senate May 3, 2007

Approved by the: Administration August 3, 2007

Approved by the: Board of Regents - no action required

Statement on Child Care for Dependents of University Employees

Approved by the: Faculty Senate May 3, 2007

Approved by the: Administration – no action required*

Approved by the: Board of Regents - no action required

* In light of recent requests to consider enhancing selected individual employee benefits, I have asked Vice President for Human Resources Carol Carrier in consultation with faculty and staff leaders to review all employee benefits as a whole to ensure that the University is as responsive as possible to the changing needs of its employees.

2. CLERK OF THE SENATE REPORT Committee on Committees Election Results Information for the Faculty Senate

FOR INFORMATION:

In the recent election to fill Twin Cities vacancies on the Committee on Committees, Professors Michael Hancher, Robert McMaster, and Stephen Weeks were elected to three-year terms (July 1, 2007 through June 30, 2010).

**STUART GOLDSTEIN, CLERK
UNIVERSITY SENATE**

3. CLERK OF THE SENATE REPORT Nominating Committee Election Results Information for the Faculty Senate

FOR INFORMATION:

In the recent election to fill Twin Cities vacancies on the Nominating Committee, Professors Jean Bauer, Amy Kaminsky, Scott Lanyon, Ann Masten, and Mary Jo Maynes were elected.

4. TRIBUTE TO DECEASED MEMBERS OF THE UNIVERSITY COMMUNITY

FACULTY/ACADEMIC PROFESSIONALS/STAFF

Thomas P. Anderson
Professor
Physical Medicine and Rehabilitation
1918 – 2007

Ward J. Barrett
Professor
Geography
1927 – 2007

Timothy B. Besingi
Professor
University of Minnesota Extension – West Central
1950 – 2007

Wayne Caron
Professor
Family Social Science
1956 – 2007

James Connolly
Professor
Rhetoric
1932 – 2007

Arnold L. Cutler
Professor
Geometry
1938 – 2007

Roland A. Delattre
Professor
American Studies
1928 – 2007

Donald W. Freeman
Professor
Obstetrics & Gynecology
1917 – 2007

Wilma Gary
Professor
Minnesota Extension Services
1923 – 2007

Richard P. Halverson
Professor
Electrical Engineering
1930 – 2007

Eldon G. Hill
Professor
Hormel Institute
1918 – 2007

Larry Huus
Associate Professor
Business and Technology – Crookston
1947 – 2007

Barbara Ann Kautz-Flom
Academic Professional
Wilson Library
1941 – 2007

Frank Kara
Academic Professional
Athletic Compliance
1966 – 2007

William Kavanaugh
Professor
Education
1913 – 2007

Marcus Kjelsberg
Professor
Public Health
1932 – 2007

Mirjana Lausevic
Professor
Music
1966 – 2007

Donald McQuarrie
Professor
Surgery
1931 – 2007

Victoria Mikelonis
Professor
Writing Studies
1947 – 2007

Paul Neibergs
Professor
Radiology
1912 – 2007

Carol Pazandak
Professor
Psychology
1923 – 2007

Judith Peterson
Professor
School of Public Health
1942 – 2007

Samuel Popper
Professor
Educational Policy and Administration
1916 – 2007

L.E. "Skip" Scriven
Regents Professor
Chemical Engineering
1931 – 2007

Nazmi Shehadeh
Professor
Science and Engineering – Duluth
1936 – 2007

Edward B. Stanford
Professor
Libraries
1910 – 2007

Marian Stankovich
Professor
Chemistry
1947 – 2007

Esther Trammell
Professor
Food Science and Nutrition
1912 – 2007

Mary E. West
Professor
Music
1909 – 2007

STUDENTS

Elizabeth M. Benrud
College of Education and Human Services – Duluth

Jessica M. Boseman
University of Minnesota – Crookston

Elizabeth C. Brahm
College of Liberal Arts

Lakshmi P.R. Chinthakunta
Graduate School

Josiah B. Danielson
Institute of Technology

Andrew B. Ferguson
University of Minnesota – Crookston

Kevin C. Keane
College of Liberal Arts

Dana E. Mangi
College of Veterinary Medicine

Elisabeth T. McClellan
College of Veterinary Medicine

Stephanie J. Pontious
School of Nursing

Kiran S. Yellajyosula
Graduate School

5. STUDENT ACADEMIC INTEGRITY COMMITTEE Academic Dishonesty Reporting Process for Twin Cities Undergraduates Information

Purpose:

The purpose of this document is to provide a recommendation to the Office for Student Conduct and Academic Integrity (OSCAI) on a structure for communication with instructors and program administrators about instances of academic dishonesty by Twin Cities undergraduates. It is hoped that by taking advantage of the existing structure of the academic programs it will be possible to remove some of the barriers to instructor reporting that may exist with the current method, which is the instructor reporting directly to OSCAI. In addition this process will provide notice to program directors and colleges. This structure should also prove valuable for general communications from OSCAI to instructors and places the Directors of Undergraduate Studies (DUGS) in a position to facilitate this process.

Scope:

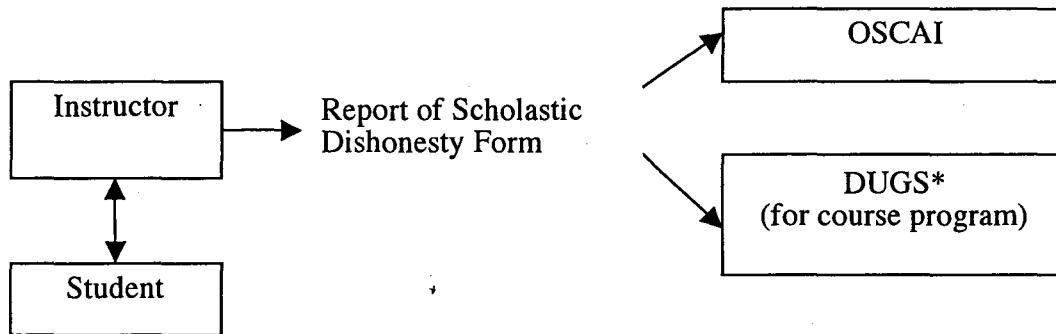
This document covers undergraduate students in all levels of courses. Graduate and professional students will be covered separately.

Recommendation:

There are two parts to the communication in the reporting process: 1. The instructor reporting the incident and 2. The OSCAI notification.

1. Instructor Reporting

The following diagram summarizes the reporting process.



* or equivalent person for lower division programs.

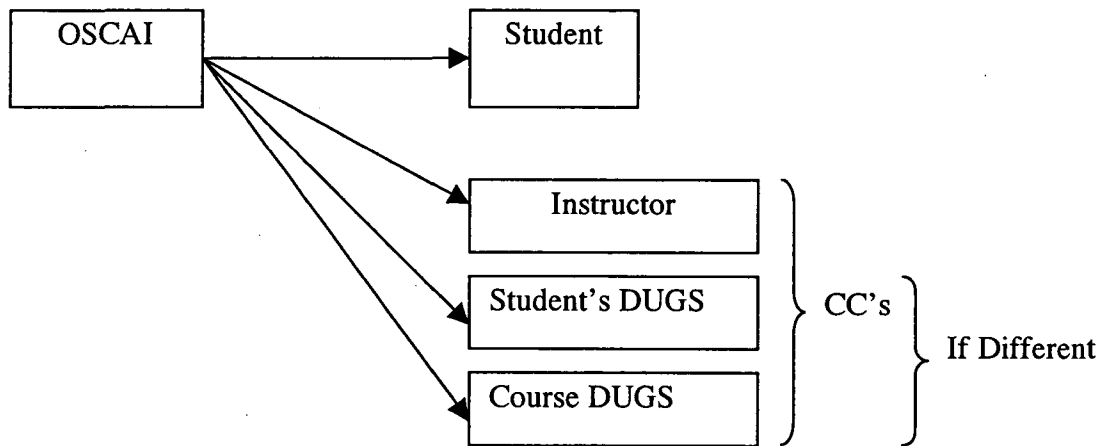
This process goes as follows: The instructor informs the student that there is a problem and discusses with the student what the resolution to the problem will be (for example, F on the assignment, F in the course, etc.) The instructor can use the DUGS for the program that is offering the course as a resource in this process. A Report of Scholastic Dishonesty Form (see below) is filled out. The instructor is asked to indicate that the student has been informed. The instructor then files this form with the DUGS for the program that offers the course and OSCAI. This completes the reporting process.

Because the DUGS of the unit that offered the course is notified of the incident, there is also the opportunity to identify patterns and proactively address them.

Role of the DUGS in this process is to provide information about the process to the instructor and the student. *The DUGS is not a decision maker or part of the appeals process.* Determination of penalties resides solely with the instructor and the appeals process.

2. OSCAI Notification

After an incident is reported to OSCAI they determine if any further response is warranted (in the case of repeated or egregious instances). In any case, OSCAI sends a letter to the student indicating that they have received a report of the incident. Copies of the letter are sent to the instructor and the DUGS for the program in which the student is enrolled and which offered the course, if different. The following diagram summarizes the Notification process:



This Notification process is also used to announce the results of an appeal or action by the Campus Committee on Student Behavior (CCSB), should it be required.

Notifications to Colleges

At the beginning of every semester, OSCAI will submit a report to each college in which there were incidents of academic dishonesty (in a course offered by the college, or by a student in the college). These reports will be a summary of the courses and students involved for the previous semester and the actions taken by OSCAI, if any.

Report of Scholastic Dishonesty Form

This form should include the following:

- Instructor and class identification
- Student identification
- Nature of the incident (instructions to include copies of any relevant work, etc.)
- Instructors response to the incident (F on paper, F in course, etc)
- Place to indicate that the student was informed.
- Place to indicate that the course DUGS was informed.
- Source of information for student appeals process
- Instructions for filing the form

OSCAI Educational Communications

The Office of Student Conduct and Academic Integrity needs to provide information about implementation of this process and about other issues related to academic integrity from time to time to instructors. This should be carried out by OSCAI informing the program DUGS (with copies to the Undergraduate Deans) and then letting the DUGS communicate with the instructors in their program. This will keep the DUGS aware of the process and allow the DUGS to answer questions and inform new faculty of the process.

Approved by Student Academic Integrity Committee on May 9, 2007

6. INFORMATION TECHNOLOGIES COMMITTEE Student Technology Fees Position Statement

Information

The Senate Committee on Information Technologies (SCIT) requests that the final proposal for any new student technology fees structure be brought before SCIT prior to going forward for Board of Regents approval. The committee wishes to applaud the colleges for their existing work to create procedures and feedback mechanisms for the current college-based student technology fees structures. They have carefully worked to create cost-neutral plans with clear involvement of students both in the setting of fees and in reporting results and gathering feedback for future planning.

However, the current system has become unnecessarily complicated and dysfunctional.

SCIT members strongly support the creation of a new system-wide structure that would rationalize and consolidate fees structures, while maintaining strong input and feedback from affected students.

SCIT would suggest that the final proposal or any new proposal be brought before not only SCIT for review and consultation but also the Student Senate and the colleges before final submission to the Board of Regents. This will only strengthen the proposal itself and insure future cooperation.

Colleges play a key role in this process. Consultation will allow for exploring strategies and discussion/creation of plans to insure revenue neutrality now and in the future, and for relating technology fees to other college fees and issues (such as laptop requirements).

Students, as both beneficiaries and sources for these funds, deserve to have a clear voice in the establishment of this fee structure. The Student Senate would be an appropriate venue for this input.

SCIT has an ongoing interest in student technology fees and their implementation across the University system: The impact on students; fee structures and implementation issues; and the impact of these fees on colleges, especially with the constant changes in technology. SCIT would request that reports on student technology fees be made to the committee, on an ongoing basis, for discussion/review at least every two years.

Approved May, 2007

**MARK SANDERS, CHAIR
INFORMATION TECHNOLOGIES COMMITTEE**

7. SENATE CONSULTATIVE COMMITTEE REPORT (5 minutes)

**MOTION A
Consent Agenda
Action by the University Senate
(2 minutes)**

Agenda Items 8. and 9. are considered to be non-controversial or "housekeeping" in nature and are offered as a "Consent Agenda" to be taken up as a single item with one vote. Any item will be taken up separately at the request of a senator. (A simple majority is required for approval.)

8. MINUTES FOR MAY 3, 2007

MOTION:

To approve the University Senate and Faculty Senate minutes, which are available on the Web at the following URL. A simple majority is required for approval.

<http://www1.umn.edu/usenate/usen/070503sen.html>

STUART GOLDSTEIN, CLERK
UNIVERSITY SENATE

9. COMMITTEE ON COMMITTEES 2007-08 Committees of the University Senate

University Senate committee memberships for 2007-08:

DISABILITIES ISSUES - Faculty: Alex Lubet (chair), Tammy Berberi, Marilyn Bruin, Lesley Craig-Unkefer, James Gambucci, Maria Gini, Kathryn Kohnert, Julia Robinson, Marlene Stum. **Academic Professionals:** Amy Hewitt, Carol Rachac. **Civil Service:** Kari Branjord, Nicole Tollefson. **Students:** 2 to be named. **Ex Officio:** Eric Schnell, Kimberly Simon.

EQUITY, ACCESS, AND DIVERSITY - Faculty: Margaret Moss (chair), Elizabeth Davis, Joel Eisinger, Benjamin Munson, Joanna O'Connell, Lee Penn, Naomi Scheman, Akhouri Sinha. **Academic Professionals:** Patricia Jones-Whyte, 1 to be named. **Students:** Katie Ballering, Paige Glasener, Chimezie Ononenyi, 3 to be named. **Civil Service:** Susan Cable, Shannon McGoffin. **Ex Officio:** Rusty Barceló, Kimberly Boyd, Peg Lonnquist, Anne Phibbs.

FINANCE AND PLANNING - Faculty: Judith Martin (chair), David Chapman, Joseph Konstan, Russell Luepker, Justin Revenaugh, Terry Roe, Gwen Rudney, Warren Warwick, Aks Zaheer, 1 to be named. **Academic Professionals:** Thomas Klein, Michael Rollefson. **Civil Service:** Rose Blixt, Kathryn Olson. **Students:** Mikael Moseley, 3 to be named. **Ex Officio:** Jonathan Binks, Steve Fitzgerald, Lincoln Kallsen, Kathleen O'Brien, Paul Olin, Richard Pfutzenreuter, Thomas Stinson, Michael Volna, George Wilcox, 1 to be named.

INFORMATION TECHNOLOGIES - Academic Professionals: Mark Sanders (Chair), John Crow, Dale Swanson, Sue Van Voorhis. **Faculty:** Alan Ek, Michael Korth, Greg Laden, Brent Larson, Stuart Speedie, Jim Waddell, Bonnie Westra, 1 to be named. **Civil Service:** Deanette Schmidt. **Students:** Briana Clark, Mahmoud Sadrai, Parker Schultz. **Ex Officio:** John Butler, Steve Cawley, Danielle Tisinger, Billie Wahlstrom.

LIBRARY - Faculty/PA: James Orf (chair), John H. Anderson, Juliette Cherbuliez, Isaac Fox, Stephen Gross, Jennifer Gunn, Jay Hatch, Anatoly Liberman, Nora Paul, Otto Strack, Danielle Tisinger, David Zopfi-Jordan. **Students:** Shruti Patil, Jessica Reinitz, 2 to be named. **Ex Officio:** Jonathan Binks, LeAnn Dean, Joan Howland, Wendy Lougee, Bill Sozansky, Owen Williams, 1 to be named.

SOCIAL CONCERNS - Faculty: Katherine Fennelly (chair), David Fox, Craig Hassel, Kenneth Heller, Catherine Jordan, Ajay Skaria, Mani Subramani. **Academic Professionals:** Joseph Marchesani, Jennifer Oliphant, Todd Tratz. **Civil Service:** Benton Schnabel, Rebecca von Dissen, Julia Washenberger. **Alumni:** Barbara Foster, Richard Lidstad, Janice Meyer. **Students:** Jessica Arett, Christine Dolph, Justin Drees, Kurtis McIntire, 3 to be named. **Ex Officio:** Kimberly Boyd, Greg Schooler, Amelious Whyte.

STUDENT ACADEMIC INTEGRITY - Faculty/PA: Tom Shield (chair), Lisa Anderson, Sarah Angerman, Linda Jones, Randy Moore, Micky Trent, Eric Watkins, 1 to be named. **Students:** Amanda Kossak, Erin West, 3 to be named. **Ex Officio:** Sharon Dzik, Laura Coffin Koch.

STUDENT BEHAVIOR - Faculty/PA: Michael Rodriguez (chair), Lorraine Francis, Francis Harvey, Jeanne Higbee, Patricia Jones-Whyte, Michelle Koker, Nicole Letawsky-Shultz, Christian Mohr, Nikolaos Papanikolopoulos, Paul Porter, Keith Russell, Becky Yust. **Students:** Abby Bar-Lev, Barrie Berquist, Emma Buser, Camille Cray, Alexander Essington, John Hoedeman, Ashley Pavletich, Katina Petersen, Claire Wolters, at least 3 to be named. **Ex Officio:** Sharon Dzik.

FOR INFORMATION:

ALL-UNIVERSITY HONORS - Faculty: Laura Gurak (chair), Carl Adams, Wilbert Ahern, Lois Heller, John Himes, Allen Isaacman, Shashi Shekhar, Madelon Sprengnether. **Academic Professionals:** Jean Kucera, Patrick Troup. **Alumni:** Andrea Hjelm, Todd Klingel, Stephen Litton, Juanita Luis, Eric Pehle. **Civil Service:** Susan LaTendresse, 1 to be named. **Students:** 3 to be named. **Ex Officio:** Kristin Cleveland, Gerald Fischer, Cheryl Jones, Krista Lemos, William Wade, Billie Wahlstrom.

SENATE COMMITTEE ON COMMITTEES - Faculty: Perry Leo (chair), Gary Anderson, Robert Gehrz, Michael Hancher, Joan Howland, Tom Johnson, Mary Jo Kreitzer, Robert McMaster, J. Michael Oakes, Carl Rosen, Stephen Weeks, at least 2 to be named. **Academic Professionals:** Elaine Challacombe, Jacqueline Cottingham-Zierdt, Frank Douma, Kyla Wahlstrom. **Students:** Jamie Ebert, Kristi Kremers, 5 to be named.

SENATE CONSULTATIVE - Faculty: Gary Balas (chair), Nancy Carpenter, Shawn Curley, William Durfee, Marti Hope Gonzales, Emily Hoover, Jeffrey Kahn, Nelson Rhodus, Jennifer Windsor, Becky Yust. **Academic Professionals:** Mary Hagemester, Pamela Stenhjem. **Civil Service:** Susan Cable, Cathy Marquardt. **Students:** Neal Brown, Jeni Kiewatt, Bree Richards, Kristopher Schwebler, Alicia Smith, 2 to be named. **Ex Officio:** Carol Chomsky, Barbara Elliott, Mary Jo Kane, Judith Martin.

**PERRY LEO, CHAIR
SENATE COMMITTEE ON COMMITTEES**

END OF MOTION A

**10. SENATE CONSULTATIVE COMMITTEE
Senator Responsibilities
Information and Discussion by the University Senate
(5 minutes)**

Responsibilities of Faculty Senators

In order to ensure that the faculty governance system operates effectively to represent faculty concerns and perspectives, individuals serving as Faculty Senators should:

1. Attend all University and Faculty Senate meetings or arrange for an alternate to attend
2. Review docket materials before Senate meetings and be prepared to discuss and vote on

issues presented.

3. Share draft policies and policy amendments with colleagues for discussion before Senate action.
4. Distribute to colleagues in their college information on significant matters before the Senate and solicit faculty views on such issues.
5. Bring to the Senate, or one of its committees, issues of concern to their colleagues.
6. Communicate regularly with faculty governance bodies in their academic units.
7. Consider serving on one of the Senate committees.
8. Remember that, while they are elected as delegates from their academic units, "[e]ach member of the University Senate shall represent the University as a whole."

Adopted unanimously by the Faculty Consultative Committee 8/17/06.

Responsibilities of Student Senators

In order to ensure that the University governance system operates effectively to represent student concerns and perspectives, individuals serving as Student Senators should:

1. Attend all University and Student Senate meetings or arrange for an alternate to attend.
2. Review docket materials before Senate meetings and be prepared to discuss and vote on issues presented.
3. Share draft policies and policy amendments with constituents and relevant student organizations for discussion before Senate action.
4. Distribute to constituents and relevant student organizations information on significant matters before the Senate and solicit student views on such issues.
5. Bring to the Senate, or one of its committees, issues of concern to their constituents and relevant student organizations.
6. Communicate regularly with student governance bodies.
7. Consider serving on one of the Senate committees.
8. Remember that, while they are elected as delegates from their academic units, "[e]ach member of the University Senate shall represent the University as a whole."

Adopted unanimously by the Student Senate Consultative Committee 9/14/06.

11. PRESIDENT'S REPORT (10 minutes)

12. QUESTIONS TO THE PRESIDENT

(10 minutes)

Questions to the President should be submitted in writing to the University Senate office no later than Tuesday, October 2, 2007. The President may also choose to take questions from the floor.

13. UNIVERSITY SENATE OLD BUSINESS

14. UNIVERSITY SENATE NEW BUSINESS

15. UNIVERSITY SENATE ADJOURNMENT

**THIS CONCLUDES THE UNIVERSITY SENATE BUSINESS.
THE SUBSEQUENT ITEMS ARE FACULTY SENATE BUSINESS ONLY.**

MEETING OF THE FACULTY SENATE

16. FACULTY CONSULTATIVE COMMITTEE REPORT (5 minutes)

MOTION B Consent Agenda Action by the Faculty Senate (2 minutes)

Agenda Items 17. and 18. are considered to be non-controversial or “housekeeping” in nature and are offered as a “Consent Agenda” to be taken up as a single item with one vote. Any item will be taken up separately at the request of a senator. (A simple majority is required for approval.)

17. SENATE OFFICERS

The chair of the Faculty Senate recommends the following officers for 2007-08:

Clerk – Professor Stuart Goldstein
Parliamentarian – Professor Kristin Hickman

18. COMMITTEE ON COMMITTEES 2007-08 Committees of the Faculty Senate

Faculty Senate committee memberships for 2007-08:

ACADEMIC FREEDOM AND TENURE - Faculty: Tom Clayton (chair), Yusuf Abul-Hajj, Tracey Anderson, William Doherty, Carl Flink, Joseph Gaugler, Linda McLoon, Karen Miksch, John Mowitt, Paul Porter, Terrence Simon, Carol Wells. **Ex Officio:** Arlene Carney, Tom Scott

EDUCATIONAL POLICY - Faculty/PA: Cathrine Wambach (chair), William Bart, April Knutson, James Leger, Richard McCormick, Claudia Neuhauser, Peh Ng, Jane Phillips, Paul Siliciano, Donna Spannaus-Martin, Douglas Wangensteen, Joel Weinsheimer. **Students:** LeAnn Alstadt, Molly Tolzmann, 4 to be named. **Ex Officio:** Gail Dubrow, Craig Swan.

FACULTY AFFAIRS - Faculty: Geoffrey Sirc (chair), Stacy Aronson, Ben Bornshtein, Vladimir Cherkassky, Jayne Fulkerson, Kathryn Hanna, Morris Kleiner, Anna Masellis, Luis Ramos-Garcia, George Sheets, Roderick Squires, Larry Wallace, Virginia Zuiker. **Academic Professionals:** Erin George, Holly Littlefield. **Ex Officio:** Arlene Carney, Carol Carrier, Dann Chapman, Tom Clayton, Theodor Litman. **Students:** 2 to be named.

JUDICIAL - Faculty: Tom Scott (chair), David Andow, David Biesboer, Martha Bigelow, John Budd, Sauman Chu, Ernest Davenport, Amos Deinard, Caroline Hayes, Brian Horgan, Joan Howland, Terry Jones, Carol Klee, Alice Larson, Paula O’Loughlin, Michael Sadowsky, Paul Shaw, Clifford Steer, Susan Wells. **Legal Advisor:** Jan Halverson, Karen Schanfield.

RESEARCH - Faculty: Dan Dahlberg (chair), Linda Bearinger, Jerry Cohen, James Cotter, Sharon Danes, Donald Dengel, J. Stephen Gantt, Tryphon Georgiou, Paul Johnson, Jennifer Linde, Steven Ruggles, Virginia Seybold, Joel, Slaton, George Trachte, Sanford Weisberg. **Academic Professionals:** Barbara Van Drasek, Jean Witson. **Civil Service:** 1 to be named.

Students: Bridget Helwig, Shikha Jain, 1 to be named. **Ex Officio:** Richard Bianco, Arlene Carney, Robin Dittmann, Timothy Mulcahy, Mark Paller, Federico Ponce de Leon, Suan Rafferty Charles Spetland.

FOR INFORMATION:

ACADEMIC HEALTH CENTER FACULTY CONSULTATIVE - Faculty: Lois Heller (chair), Susan Berry, Peter Davies, Brian Isetts, George Maldonado, Paul Olin, 2 to be named. **Ex Officio:** Paul Olin.

ADVISORY COMMITTEE ON ATHLETICS - Faculty/PA: Douglas Hartmann (chair), Melissa Avery, Linda Brady, Thomas Brothen, Ronald Greene, Laurie McLaughlin, S. Douglas Olson, Richard Weinberg, Virginia Zuiker. **Civil Service:** Duane Nelson. **Alumni:** Linda Mona, Jerry Noyce. **Students:** Jonathan Loveall, 3 to be named. **Ex Officio:** J.T. Bruett, Joel Maturi, Mark Nelson.

FACULTY ACADEMIC OVERSIGHT ON INTERCOLLEGIATE ATHLETICS - Faculty: Thomas Brothen (chair), Linda Brady, Priscilla Gibson, Douglas Hartmann, Murray Jensen, Timothy Johnson, Mark Seeley, Richard Weinberg, 1 to be named. **Ex Officio:** J.T. Bruett, Mark Nelson.

FACULTY CONSULTATIVE - Faculty: Gary Balas (chair), Nancy Carpenter, Shawn Curley, William Durfee, Marti Hope Gonzales, Emily Hoover, Jeffrey Kahn, Nelson Rhodus, Jennifer Windsor, Becky Yust. **Ex Officio:** Carol Chomsky, Dan Dahlberg, Barbara Elliot, Lois Heller, Mary Jo Kane, Judith Martin, Martin, Geoffrey Sirc, Catherine Wambach.

NOMINATING - Faculty: Catherine French (chair), Jean Bauer, Susan Berry, Arthur Erdman, Daniel Feeney, Amy Kaminsky, Mindy Kurzer, Scott Lanyon, Ann Masten, Mary Jo Maynes, Leslie Schiff. **Academic Professional:** 2 to be named.

**PERRY LEO, CHAIR
FACULTY COMMITTEE ON COMMITTEES**

END OF MOTION B

**19. FACULTY SENATE BYLAW AMENDMENT
Faculty Committee on Committees Charge
Action by the Faculty Senate
(5 minutes)**

MOTION:

To amend Article IV, Section 5(G) of the Faculty Senate Bylaws as follows (language to be added is underlined). As an amendment to the Faculty Senate Bylaws, the motion requires either a majority of all voting members of the Faculty Senate () at one regular or special meeting, or a majority of all voting members of the Faculty Senate present and voting at each of two meetings. This is the first meeting at which this motion is being presented.

ARTICLE IV. COMMITTEES OF THE FACULTY SENATE (Changes to this article are subject to vote only by the Faculty Senate)

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5. Faculty Senate Committee Charges

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G. FACULTY COMMITTEE ON COMMITTEES

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Membership

The Faculty Committee on Committees shall be composed of at least 13 and no more than 15 elected tenured or tenure-track faculty members, at least 2 and no more than 4 elected academic professional members.

Of the faculty/academic professional members, 12 shall be from the Twin Cities campus. There shall also be one member each from the ~~Duluth~~ and Morris campuses. All faculty/academic professional members shall be elected for three-year terms by the faculty/academic professional members of the Senate from these respective campuses. In case of a faculty/academic professional vacancy, the remaining faculty/academic professional members, by majority vote, shall fill the vacancy by interim appointment until the next general election.

The Faculty Committee on Committees shall elect its chair from amongst its members for a one-year term of office. The chair is eligible for re-election to that position. The chair shall also serve as the chair of the Senate Committee on Committees.

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COMMENT:

The current membership language designates a seat for a Duluth faculty member. Since this seat has not been filled since 2003, the Medical School Duluth's Nominating Committee was asked if they wanted to keep one seat designated for Duluth or if it could be part of the at-large seat assignment. The Nominating Committee decided that they could not fill a designated seat and suggested that the allotment be changed. The above language represents this change.

**PERRY LEO, CHAIR
FACULTY COMMITTEE ON COMMITTEES**

**20. EDUCATIONAL POLICY COMMITTEE
Course Numbering Policy
Action by the Faculty Senate
(10 minutes)**

MOTION:

To approve the policy as follows.

Course-Numbering Policy

Semester courses will have four digit numbers. The first number designates the course level. The numbering system is as follows:

0xxx Courses that do not carry credit toward any University degree.

- 1xxx Courses primarily for undergraduate students in their first year of study.
- 2xxx Courses primarily for undergraduate students in their second year of study.
- 3xxx Courses primarily for undergraduate students in their third year of study.
- 4xxx Courses primarily for undergraduate students in their third or fourth year of study; graduate students may enroll in such courses for degree credit.

Note: Use of 4xxx Courses in Graduate Programs

4xxx courses can be counted for a Graduate School degree. However, no 4xxx course can be counted for a Graduate School degree unless it is taught by a member of the graduate faculty or an individual appointed to Limited Teaching Status (LTS). Also, a graduate program may restrict the use of 4xxx courses in the program (e.g., by stipulating that no more than y credits of 4xxx courses may be counted or by stipulating that only certain 4xxx courses may be counted). Such restrictions may be applied both for 4xxx courses in the major field and for 4xxx courses outside the major field. These are matters left to the discretion of each graduate program.

5xxx Courses primarily for graduate students; undergraduate students in their third or fourth year may enroll in such courses.

6xxx Courses for post-baccalaureate students in professional degree programs.

7xxx Courses for post-baccalaureate students in professional degree programs.

Note: 6xxx and 7xxx Courses

6xxx and 7xxx courses are to be used primarily for post-baccalaureate professional programs that are not offered through the Graduate School. 6xxx and 7xxx courses may be counted for a Graduate School degree, if a degree program wants them to count. Similarly, 5xxx and 8xxx courses may be counted for a non-Graduate School degree, if a program wants them to count. Those departments or programs that offer both Graduate School degrees and non-Graduate School degrees should decide for themselves how best to number courses in the curriculum.

8xxx Courses for graduate students.

9xxx Courses for graduate students.

All thesis credit courses shall use the following numbering conventions.

8555 Thesis/Project Credits: Master of Fine Arts

8666 Doctoral Pre-thesis Credits

8777 Thesis Credits: Masters

8888 Thesis Credits: Doctoral

All-University numbering conventions for other kinds of courses are provided below.

xx91 Independent Study

xx92 Directed Reading

xx93 Directed Study

xx94 Directed Research

xx95 Problems

xx96 Field Study; Internships, Industrial Assignment

xx97 Reserved for future use

xx98 Reserved for future use

All of the above are examples of courses that may be repeated for credit. Use of a zero as the last digit of a course number should be reserved for other kinds of courses that may be repeated for credit (e.g., "topics" courses).

COMMENT:

The Senate Committee on Educational Policy (SCEP) discussed several times in the past few years the rules that are to govern course numbering. The "policy" was contained in an administrative memo not readily accessible; SCEP concluded that (1) course numbering is an important matter of educational policy, in that it directs which students should be enrolling in which classes, and (2) as a matter of institutional policy, it should be more readily accessible (such as on the Senate website).

SCEP recommends that the Faculty Senate adopt the course-numbering policy.

**CATHRINE WAMBACH, CHAIR
EDUCATIONAL POLICY COMMITTEE**

**21. ACADEMIC FREEDOM AND TENURE COMMITTEE
Amendments to the Procedures for Reviewing the Performance of
Tenure-Track Probationary Faculty
Information and Discussion by the Faculty Senate
(20 minutes)**

A handout will be available at the meeting.

**TOM CLAYTON, CHAIR
ACADEMIC FREEDOM AND TENURE COMMITTEE**

**22. FACULTY CONSULTATIVE COMMITTEE
Copyright Policy
Discussion by the Faculty Senate
(30 minutes)**

A handout will be available at the meeting.

23. FACULTY SENATE OLD BUSINESS

24. FACULTY SENATE NEW BUSINESS

25. FACULTY SENATE ADJOURNMENT

Department of Emergency Management

University of Minnesota

EMERGENCY MANAGEMENT

Department of Emergency Management (System-wide responsibility)

- **Preparedness**
 - Emergency Operations Plan
 - Hazard analysis and planning
 - Training and exercises
- **Emergency Response**
 - Emergency Operations Center
 - Incident response
 - Mobile Command Post
 - Command Trailer
- **Continuity/Recovery**
 - Operational continuity planning

■ Emergency Preparedness

- The systematic approach to preparing for, responding to, and recovering from major emergencies
- All emergencies cannot be avoided but some can be prevented and most can be managed in ways that minimize their impact.

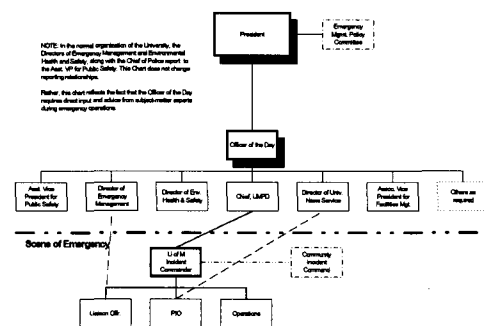
■ Emergency Operations Plan

- Guides the response to major emergencies on campus
- Conforms with federal and state emergency planning requirements
- Outlines the responsibilities of key departments during an emergency
- Establishes a chain of command for decision making during and after an emergency

All hazards incident command

■ Coordinated with local, state, and federal plans and assistance

- Minnesota Emergency Operations Plan
- County, city, and town operations plans



Scope of Plan

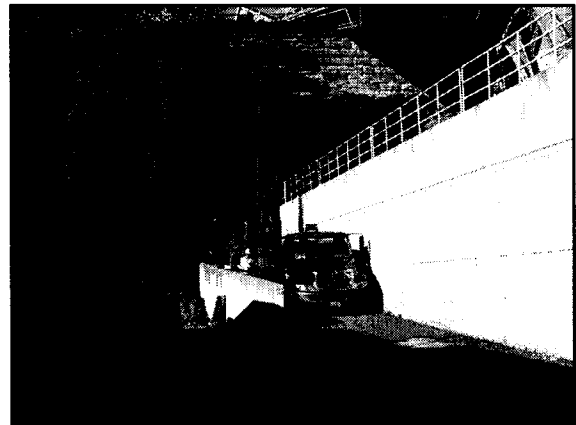
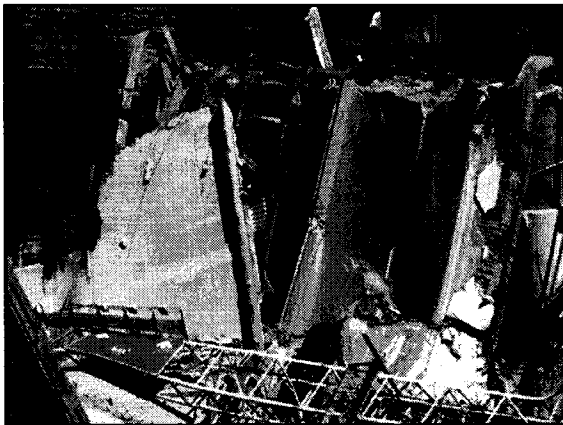
Any incident that significantly affects students, faculty, or staff—regardless of scope—is a University emergency.

■ Levels of Response

- | | |
|---|--|
| <ul style="list-style-type: none">■ Level 1■ Unusual occurrence■ Information alerts■ Admin. notifications■ Communicating in a crisis | <ul style="list-style-type: none">■ Level 2■ Localized emergency■ Small area■ OOD notified/IC responds■ EOC is not activated |
| <ul style="list-style-type: none">■ Level 3■ Major emergency■ Large area■ EOC is activated■ Sr. administrators alerted | <ul style="list-style-type: none">■ Level 4■ Disaster■ Major scale/national■ EOC activation likely■ Operations may be suspended |

Emergencies covered

- | | |
|---|---------------------------|
| ■ Hazardous materials release | ■ Individual health event |
| ■ Extended power outage | ■ Laboratory explosion |
| ■ Plane crash | ■ Tornado |
| ■ Terrorism or other national emergencies | ■ Fire |
| ■ Bomb threats | ■ Blizzard |
| | ■ Civil unrest |





Emergency Response

■ For assistance from Emergency Management

- Call 612-624-2677 (UMPD Dispatch)
 - Ask for Emergency Management to be paged
 - Leave a call-back number
 - We are on call 24/7

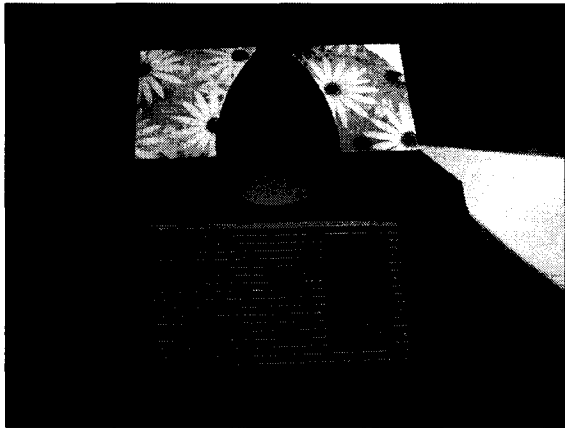


Automated External Defibrillator (AED)

- 200+ units in University System
- Locations
 - Police Squads
 - Large assembly Spaces
 - FM Electric Utility Vehicles
 - Residence Halls
 - Student Centers and Libraries
 - Selected Bldgs with an Avg daily population over 400
 - Athletic trainers

Tone Alert Radios

- One of the multiple systems used for notifications on campus
- Over 400 radios placed in system (including Duluth and Crookston)
- TC units are Activated by UMPD, Duluth units by UMDPD
- Partnership with Stevens County Sheriff to cover the Morris campus, and Crookston fire to activate for Crookston campus



UMEMS

- Provide emergency medical coverage for athletic and special events on the TC campus
- Operate two basic life support ambulances
- Over 60 volunteer EMT's
- 12 PT paid staff
- Responded to the 8/03/07 35W bridge collapse

Building Emergency Plans (BEP)

- Used for wide variety of emergencies
 - Fire
 - Floods
 - Severe weather
 - Evacuation of the building
 - Bomb threats
 - Site specific hazards

Severe Weather

- Tornadoes or Severe Thunderstorms take shelter
- Where to take shelter
 - Small interior room with no windows such as a locker room and lavatories
 - Hallways away from doors and window
 - Basements
 - Any protected area away from doors and windows

Severe Weather

- Not just tornadoes
- Severe Thunderstorms just as dangerous
 - Winds up to 70 mph
 - Straight line winds



Fires

- Always take fire alarms seriously and evacuate the building
- When evacuating during bad weather
 - Move to other side of fire doors; one building away
- Do not go back into the building until the all clear has been given by fire department
- Please remember to take personal items with you when you evacuate (unless unsafe to do so)
 - Keys
 - Purses
 - Coats
 - Brief Case

Bomb Threats

- Threat Assessment
 - Specifics
 - Credibility
 - Resources required
- Emergency Response Decision
 - Evacuate
 - Shelter in-place
 - Other
- Communication
 - Building(s) involved
 - University Community
 - Media/General public

Evacuation

- Police/Fire will normally Implement
- Police are Incident Command
- DEM will provide coordination/advice and EOC if required
- Facilities evacuated will often be closed for the remainder of the day so:
 - Do not delay leaving but take all essential items with you (purse, coat, keys)

Communication System Improvements

- Motivated by Virginia tech and our local bomb threats:
 - Mass e-mail delivery time reduced from hours to 9 minutes
 - UM Homepage can now be stripped of graphics when providing emergency messages
 - Faster download times, more concurrent users
 - Improved ability to remotely lockdown selected buildings (card access)

Communication System Imp, con't.

- V.P. O'Brien charged a communications subcommittee to:
 - Investigate additional communication technologies
 - Draft a report and recommendations

Communication system Imp, con't

- After review, VP Kathy O'Brien and the EMPC instructed the Committee to provide firm and complete cost estimates for all priority one options including:
 - Text messaging system
 - Expanded tone alert radio system
 - Outdoor public address system(we are currently implementing the above technologies)
- Continue to refine priority two and three proposals

U of M Emergency Management

- Questions?

MEETING OF THE STUDENT SENATE

THURSDAY, OCTOBER 4, 2007

11:30 A.M. - 1:30 P.M.

**Studio C, Rarig Center--Twin Cities Campus
106 Sahlstrom Conference Center--Crookston Campus
173 Kirby Plaza--Duluth Campus
7 Humanities and Fine Arts--Morris Campus**

This is a meeting of the Student Senate. There are 27 voting members of the Student Senate. A simple majority must be present for a quorum. Most actions require only a simple majority for approval. Actions requiring special majorities for approval are noted under each of those items.

**1. COUNCIL OF ACADEMIC PROFESSIONALS AND ADMINISTRATORS UPDATE
(5 minutes)**

**2. CIVIL SERVICE COMMITTEE UPDATE
(5 minutes)**

**3. STUDENT SENATE/ STUDENT SENATE
CONSULTATIVE COMMITTEE VICE CHAIR REPORT
(5 minutes)**

**4. ASSEMBLY/ASSOCIATION UPDATES
(5 minutes)**

**MOTION A
Consent Agenda
Action
(2 minutes)**

Agenda Items 5. and 6. are considered to be non-controversial or "housekeeping" in nature and are offered as a "Consent Agenda" to be taken up as a single item with one vote. Any item will be taken up separately at the request of a senator. (A simple majority is required for approval.)

5. MINUTES FOR APRIL 5, 2007 AND MAY 3, 2007

MOTION:

To approve the Student Senate minutes, which are available on the Web at the following URLs. A simple majority is required for approval.

<http://www1.umn.edu/usenate/ssen/070405stu.html>
<http://www1.umn.edu/usenate/ssen/070501stu.html>

**STUART GOLDSTEIN, CLERK
UNIVERSITY SENATE**

**6. COMMITTEE ON COMMITTEES
2007-08 Committees of the Student Senate**

Student Senate committee memberships for 2007-08:

STUDENT AFFAIRS - Students: Jeffrey Wencil (chair), Eric Brown, Megan Hayes, Maureen Kunkler, Ian McConnell, Hilary Ploeckelmann, Caroline Younts, Olga Zakharenko, 1 to be named. **Faculty/PA:** Jean-Marie Del-Santo, Jennifer Engler, Andy Howe, Kathleen Roufs, Catherine Solheim, 1 to be named. **Alumni:** Nathan Pelzer. **Civil Service:** Thomas Bilder. **Ex Officio:** Kendre Turonie, Amelious Whyte.

FOR INFORMATION:

ACADEMIC HEALTH CENTER STUDENT CONSULTATIVE - Students: David Nelson (chair), Mary Avriette, Amenah Babar, Elizabeth Bassett, Emily Erickson, Bradley Johnson, Jerod Klava, Jessica Kream, Jennifer Landwehr, Kimberly Langer, Lindsey Lundeen, Karen Myren, Sarah Sting, Elizabeth Welle, Megan Witucki.

STUDENT COMMITTEE ON COMMITTEES - Students: To be named (chair), Jamie Ebert, Kristi Kremers, 5 to be named.

**PERRY LEO, CHAIR
COMMITTEE ON COMMITTEES**

END OF MOTION A

**7. STUDENT SENATE BYLAWS AMENDMENT
Action by the Student Senate
(5 minutes)**

MOTION:

To amend Article VI, Section 5 (C) of the Student Senate Bylaws as follows (language to be added is underlined). As an amendment to the Student Senate Bylaws, the motion requires either a majority of all voting members of the Student Senate (14) at one regular or special meeting, or a majority of all members of the Student Senate present and voting at each of two meetings. This is the first meeting at which this motion is being presented.

**ARTICLE V. STUDENT SENATE MEMBERSHIP, ELECTIONS, AND OFFICERS
(Changes to this article are subject to vote only by the Student Senate)**

...

3. Election and Duties of Officers

...

b. Duties of the Chair

The duties of the chair are (1) to be the official spokesperson of the Student Senate; (2) to set the Student Senate agenda, to be approved by the Student Consultative Committee; (3) to serve as

the chair of the Student Senate; (4) to serve as the chair of the Student Consultative Committee; (4 5) to serve a as a member of the Senate Consultative Committee; (6) to serve as the University's representative on the Student Advisory Council; and (5 7) to serve on central University advisory committees as needed, or to delegate student members for advisory committees.

c. Duties of the Vice Chair

The duties of the vice chair are (1) to serve as the vice chair of the Student Senate; (2) to serve as the liaison to the Civil Service Committee; (3) to serve as the liaison to the Council of Academic Professionals and Administrators; (4) to assume the duties of the chair in the event of an absence or incapacity of the chair; (2 5) to assume responsibilities delegated by the chair; (3) to submit to the Senate Office an annual budget request for the Student Senate and Student Consultative Committee, to be approved by the Student Consultative Committee at a spring semester meeting; (4) to organize an annual orientation for members of the Student Senate; (5 6) to ensure that the Student Senate Handbook is updated and distributed; and (6 7) to serve as the vice chair of the Student Consultative Committee.

...

COMMENT:

In May 2007, the Student Senate Consultative Committee (SSCC) reviewed the duties for the chair and vice chair positions as noted in the Senate Bylaws. The list of duties was revised to reflect what the positions are currently required to do. Duties that were previously assigned to the positions, but are no longer done, were removed.

**RONALD MILLER, VICE CHAIR
STUDENT SENATE CONSULTATIVE COMMITTEE**

8. RESOLUTION ON A CENTRAL CORRIDOR TUNNEL

**Action
(10 minutes)**

MOTION:

To approve the resolution as follows.

Resolution on a Central Corridor Tunnel

WHEREAS, the Central Corridor Light Rail Line will be going through the University of Minnesota, Twin Cities Campus on Washington Avenue; and

WHEREAS, a considerable percentage of the ridership on the Central Corridor Line will be University of Minnesota students, employees, and visitors; and

WHEREAS, according to the Federal Railroad Administration, "deaths in grade crossing accidents are the second-leading category of deaths associated with railroading"¹ and

¹ U.S. Department of Transportation Federal Railroad Administration, *Federal Railroad Administration Action Plan for Addressing Critical Railroad Safety Issues*, 16 May 2005, p. 9, <http://www.fra.dot.gov/downloads/safety/action_plan_final_051605.pdf> (10 September 2007).

"elimination of at-grade crossings...offers the greatest long-term promise for optimizing the safety and efficiency of the two modes of transportation"² (trains and motor vehicles); and

WHEREAS, the benefits of a tunnel appreciably outweigh the added upfront material costs; and

WHEREAS, a tunnel under Washington Avenue for the Central Corridor cannot be added once the line is completed without significant cost and construction; therefore

BE IT RESOLVED, that the Graduate and Professional Student Assembly supports the plan for the Central Corridor Light Rail Line to go through campus via an underground tunnel on Washington Avenue.

**BREE RICHARDS, MEMBER
STUDENT SENATE CONSULTATIVE COMMITTEE**

**9. ELECTION OF 2007-08 STUDENT SENATE/
STUDENT SENATE CONSULTATIVE COMMITTEE CHAIR
Election by 2007-08 Senators Only
(10 minutes)**

**10. ELECTION OF 2007-08 TWIN CITIES UNDERGRADUATE
COMMITTEE ON COMMITTEES MEMBERS
Election by 2007-08 Twin Cities Undergraduate Senators Only
(5 minutes)**

**11. RECRUITMENT OF TWIN CITIES MEMBERS
Discussion with Ed Kim and Eric Martin
(10 minutes)**

**12. UNIVERSITY'S EMERGENCY PREPAREDNESS
Discussion
(30 minutes)**

**13. 2007-08 SENATE AGENDA ITEMS
Discussion
(10 minutes)**

14. OLD BUSINESS

15. NEW BUSINESS

² U.S. Department of Transportation Federal Railroad Administration. Federal Railroad Safety Accountability and Improvement Act (proposed), p. 10,
<<http://www.fra.dot.gov/Downloads/Counsel/legislation/2007RailSafetyBill.pdf>> (10 September 2007).

TWO PROPOSED AMENDMENTS TO THE COPYRIGHT POLICY – Carol Wells

I propose two amendments, involving the following two sections.

1. Page 1, Subd 3. Regarding course materials, “academic work” includes only the course syllabus, tests, and class notes. I am not sure what “class notes” are. I interpret this language to mean that the University owns my lecture outlines, my PowerPoint presentations, my hand-outs, and my on-line PowerPoint with audio (Adobe Presenter 6) presentations. In other words, the University owns my course materials.
2. Page 2, Section IV, Subd. 2(a) and 2(b). The University administration has requested that I put my course work into an on-line format. According to Subd. 2(a), the University owns “works created by University employees acting within the scope of their employment.” And, according to Subd. 2(b), the University owns “directed works” (with no further definition of this term). Thus, again, the University owns my course materials.

Some of the resulting problems with the above language include:

1. If a faculty member leaves the University, the faculty member is not free to give his/her lectures in another institution.
2. The University will be able to modify the course content without the permission of the faculty member who developed the content.
3. It is unclear how faculty might develop course content in collaboration with faculty from other institutions.
4. I am in Allied Health, and it is unclear if I have the freedom to give my course content as a continuing education tool for health care workers outside the University --- without expressed permission from the University administration.
5. Two adjunct professors, who work at the Minnesota Dept. of Health, receive a small monetary compensation for lecturing in one of my courses. Would the University own their course material also?

I propose the following two amendments.

1. Page 1, **SECTION II. DEFINITIONS. Subd 3.** Modified as follows.
“Academic work” shall mean a scholarly, pedagogical, or creative work, such as an article, book, textbook, novel, work of visual art, dramatic work, musical composition, ~~course syllabus, test, or class notes.~~ **ADDING:** and all course materials developed by faculty, including but not limited to course syllabi, tests, class notes, lecture outlines, laboratory exercises, hand-outs, PowerPoint presentations, and all presentations converted to on-line format that may, or may not, include video, animation, and/or audio.
2. Page 2. **SECTION IV. COPYRIGHT OWNERSHIP. Subd. 2.** Eliminate sections (a) and (b) and retain sections (c) (d) and (e), as follows.

Subd. 2. University Ownership. The University shall own the copyrights in the following works created by University faculty, students or other employees acting individually or jointly with others:

- ~~(a) works created by University employees acting within the scope of their employment, except for academic works created and owned by faculty and students under this policy;~~
~~(b) directed works;~~
(c) works specially ordered or commissioned by the University and for which the University has agreed, in writing, to specially compensate or provide other support to the creator;
(d) works created in connection with the administration of the University; and
(e) works created pursuant to a contract with an outside sponsor that provides the University ownership of the copyrights.

I encourage adoption of these amendments. A University is a repository of the knowledge of our culture. A University is composed of faculty and the administration. The administration provides the physical structure and the faculty direct the curriculum. Faculty members have historically had the academic freedom to own, develop, modify, and manage their own course content. This freedom should not be surrendered to the administration.

20. EDUCATIONAL POLICY COMMITTEE
Course Numbering Policy
Action by the Faculty Senate
(10 minutes)

MOTION:

To approve the policy as follows, with the amendment noted (language to be added is underlined, language to be deleted is ~~struck through~~).

Course-Numbering Policy

Semester courses will have four digit numbers. The first number designates the course level. The numbering system is as follows:

- 0xxx Courses that do not carry credit toward any University degree.
- 1xxx Courses primarily for undergraduate students in their first year of study.
- 2xxx Courses primarily for undergraduate students in their second year of study.
- 3xxx Courses primarily for undergraduate students in their third year of study.
- 4xxx Courses primarily for undergraduate students in their third or fourth year of study; graduate students may enroll in such courses for degree credit.

Note: Use of 4xxx Courses in Graduate Programs

~~4xxx courses can be counted for a Graduate School degree. However, no 4xxx course can be counted for a Graduate School degree unless it is taught by a member of the graduate faculty or an individual appointed to Limited Teaching Status (LTS). Also, a graduate program may restrict the use of 4xxx courses in the program (e.g., by stipulating that no more than y credits of 4xxx courses may be counted or by stipulating that only certain 4xxx courses may be counted). Such restrictions may be applied both for 4xxx courses in the major field and for 4xxx courses outside the major field. These are matters left to the discretion of each graduate program.~~

4xxx courses may be applied toward a Graduate School degree with the approval of the student's major field and if the course was taught by a member of the graduate faculty or an individual authorized by the program to teach at the graduate level.

5xxx Courses primarily for graduate students; undergraduate students in their third or fourth year may enroll in such courses.

6xxx Courses for post-baccalaureate students in professional degree programs.

7xxx Courses for post-baccalaureate students in professional degree programs.

Note: 6xxx and 7xxx Courses

6xxx and 7xxx courses are to be used primarily for post-baccalaureate professional programs that are not offered through the Graduate School. 6xxx and 7xxx courses may be counted for a Graduate School degree, if a degree program wants them to count. Similarly, 5xxx and 8xxx courses may be counted for a non-Graduate School degree, if a program wants them to count. Those departments or programs that offer both Graduate School degrees and non-Graduate School degrees should decide for themselves how best to number courses in the curriculum.

8xxx Courses for graduate students.

9xxx Courses for graduate students.

All thesis credit courses shall use the following numbering conventions.

8555 Thesis/Project Credits: Master of Fine Arts
8666 Doctoral Pre-thesis Credits
8777 Thesis Credits: Masters
8888 Thesis Credits: Doctoral

All-University numbering conventions for other kinds of courses are provided below.

xx91 Independent Study
xx92 Directed Reading
xx93 Directed Study
xx94 Directed Research
xx95 Problems
xx96 Field Study; Internships, Industrial Assignment
xx97 Reserved for future use
xx98 Reserved for future use

All of the above are examples of courses that may be repeated for credit. Use of a zero as the last digit of a course number should be reserved for other kinds of courses that may be repeated for credit (e.g., "topics" courses).

COMMENT:

The Senate Committee on Educational Policy (SCEP) discussed several times in the past few years the rules that are to govern course numbering. The "policy" was contained in an administrative memo not readily accessible; SCEP concluded that (1) course numbering is an important matter of educational policy, in that it directs which students should be enrolling in which classes, and (2) as a matter of institutional policy, it should be more readily accessible (such as on the Senate website).

SCEP recommends that the Faculty Senate adopt the course-numbering policy.

SCEP voted unanimously October 3, 2007, to accept as a friendly amendment the revised language for the course-numbering policy.

**CATHRINE WAMBACH, CHAIR
EDUCATIONAL POLICY COMMITTEE**

Information for Item 21. Amendments to the Procedures for Reviewing the Performance of Tenure-Track Probationary Faculty, on the October 4, 2007, Faculty Senate agenda

21. ACADEMIC FREEDOM AND TENURE COMMITTEE
Amendments to the Procedures for Reviewing the Performance of
Tenure-Track Probationary Faculty
Information and Discussion by the Faculty Senate
(20 minutes)

Please refer to the attached materials. One is a clean version of the revised document and the other shows the proposed amendments.

COMMENT:

After completing its revision of the tenure code in the academic year 2006-07 ("Faculty Tenure," <http://www1.umn.edu/regents/policies/humanresources/FacultyTenure.pdf>), the Academic Freedom and Tenure Committee (AF&T) went on to help revise the Procedures that implement the parts of the tenure code governing conferring of tenure and promotion to associate professor, and promotion from associate to full professor. The committee worked on the Procedures through the end of the last academic year, 2006-07, and a nucleus worked on them for much of the summer and some of the Fall Semester. Prominent in this number were Vice Provost for Faculty and Academic Affairs Arlene Carney, ex-officio member of AF&T and the person with the most experience of the earlier version of the Procedures; and Professor Carol Chomsky of the Law School, a member of the Faculty Consultative Committee and a regular consultant in the course of this revision.

We tried to devise optimal systematic practices for all faculty members actively involved in the personnel actions concerned, to describe the practices as clearly as we could and as documentary conventions allow, and above all to ensure as far as possible that personnel actions are fair and reasonable, and are conducted with professional and humane consideration of individuals as well as for the good of the University of Minnesota as a whole. As in the tenure code, a major change here is specification of the criteria and the process by which associate professors are promoted to the rank of professor (III). Most of the other changes spell out in detail what is to be done wherever vagueness or ambiguity left that in doubt, and there were many such places, as will have been seen by members of the Faculty Senate and others who examined the Tracked Changes version of the Procedures dated 25 September 2007 and distributed by e-mail the next day.

The Procedures are now presented to the Senate for information and discussion. Unlike the tenure code, they do not require action by the Senate or the Board of Regents, only approval by both AF&T and the Senior Vice President for Academic Affairs and Provost. We refer to the Procedures somewhat oxymoronically as in their "current final" form, because definitiveness is beyond the achieving in such cases, and we expect the Procedures to be regularly (and promptly) amended as found necessary by experience and readers, continuing the committee's practice through the entire course of revision, with changes made sometimes daily, occasionally still more often.

All faculty members directly affected by these Procedures should read them especially carefully, notably those who have tenure or promotion or both in prospect, and administrators concerned with these personnel actions. Other faculty members should read them, too, because we are all affected by them annually in performance review and often more than once a year. The Committee will welcome comments and suggestions by anyone at any time, both at the present Senate meeting and after. Two issues to which the committee gave extended attention will

likewise be of interest to all other faculty members concerned, and those are quorums and abstentions. The treatment of these differs across the University, and, though we think the practice should be the same throughout the University, we have respected that difference in section II. A. 2. e, which is quoted in full here for the sake of convenience:

A quorum must be present for discussion and vote on promotion and tenure. A quorum is defined as more than 50% of the faculty members eligible to vote on the matter. Unless the faculty of a unit adopts a rule requiring an exceptional majority (see section 3 below), the action of the unit is based on the vote of the majority of those voting on the question, including absentee ballots cast as specified in section 2(c). Abstentions are not counted in determining whether a majority of those voting cast votes in favor of tenure or promotion, as required to report an affirmative recommendation, but the number of abstentions are reported as part of the vote tally and, in the review process, they will be considered an indication of lack of support for the candidate by those abstaining. Abstentions are strongly discouraged. Tenured faculty members have an obligation to decide whether or not a candidate merits tenure or promotion and to vote for or against tenure or promotion.

If there is a tie vote, the recommendation is in the negative. In the final year of the probationary period, a tie vote on the question of tenure automatically results in a recommendation for termination of the appointment.

In a unit that has a rule requiring an exceptional majority (see section 3 below), if a recommendation to grant tenure receives an ordinary majority but not the required exceptional majority, the unit must prepare and send forward the file without a recommendation for tenure, unless the candidate requests in writing that the file not be reviewed beyond the unit.

**TOM CLAYTON, CHAIR
ACADEMIC FREEDOM AND TENURE COMMITTEE**

**Procedures for Reviewing Candidates for Tenure and/or Promotion:
Tenure-Track and Tenured Faculty**

I. Introduction

- A. Scope
- B. Definitions
- C. Variances
- D. Confidentiality of review materials

II. Tenure Procedures

- A. Actions to be taken generally
 - 1. Unit statement of criteria (7.12)
 - 2. Regular voting rules
 - a. Who is eligible to vote
 - b. Disqualifications
 - c. Voting procedures
 - d. Questions to be voted upon
 - e. Required majority
 - f. Report of the vote
 - 3. Rules requiring an exceptional majority
- B. Actions at the beginning of a probationary appointment
 - 4. Explaining the process to the candidate
- C. Annual review during the probationary period
 - 5. Elements of the annual review process
 - 6. Collecting information on the candidate's performance
 - 7. Annual review by the tenured faculty
 - 8. Annual conference with the candidate
- D. Unit consideration of the candidate for tenure or for termination of his or her appointment
 - 9. Tenure decision may be made at any time
 - 10. A decision to terminate an appointment may be made at any time
 - 11. Schedule for unit action
 - 12. Preparation of the file for tenure decisions
 - 13. Report of action
- E. Review by college, campus, or alternative second-level review committee
 - 14. Review by senior academic administrators
 - 15. Collegiate or campus review committee
 - 16. Applicable all-University criteria and standards
 - 17. Requests for reconsideration or for more information
 - 18. Dean's recommendation
- F. Central review and action
 - 19. Central review
 - 20. Standards for review and action
 - 21. Action by the Senior Vice President for Academic Affairs and Provost; explanations to dean/chancellor and unit

III. Promotion Procedures

These procedures are adopted in accordance with sections 6, 7, 9, and 16 of the Board of Regents Policy: *Faculty Tenure*. They cover additional elements of the tenure-granting and review process.

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I. Introduction

A. Scope

This document contains procedural rules for the consideration of candidates for tenure and promotion. It is also intended to provide a convenient guide for unit heads, tenured faculty members, and candidates, to assist in understanding and organizing the tenure-granting and promotion process. Those faculty members who are governed by contracts with the University Education Association abide by some parts of these Procedures and not others, as specified in their individual contracts. The document restates some of the rules that are found in the Board of Regents Policy: *Faculty Tenure* and adds additional procedures. For additional detail or interpretation, see the relevant sections of *Faculty Tenure*.

The mandatory rules (those using "must" or "shall") established in this document are minimum requirements. Other procedures are simply recommendations or expressions of permission (those using "should" or "may"). Units, colleges, and campuses are encouraged to supplement them with additional rules that clarify the process for considering tenure and promotion while protecting the rights of candidates. Any supplemental rules must be consistent with these Procedures and with *Faculty Tenure*.

The procedural rules established by this document are intended to guide the orderly and fair administration of the tenure process. Units, review committees, unit heads, and other administrators should carefully follow them. But a decision may not be set aside merely because there have been minor or technical deviations from the rules. The Judicial Committee has authority to take action based on procedural irregularities only if the personnel decision was "based in significant degree upon . . . substantial and prejudicial deviation from the procedures" (*Faculty Tenure*, section 7.7(3)).

These procedural rules apply to individuals regardless of the date of their initial appointment.

B. Definitions

Candidates include: (1) probationary faculty members eligible for indefinite tenure and promotion to the next rank; (2) probationary faculty members eligible to receive tenure in rank; and (3) faculty members with tenure eligible for promotion in rank.

In these Procedures, "unit" means the academic unit that makes the initial recommendation on tenure and promotion. That may be a department, a college (in colleges not subdivided into departments), or a division (on a coordinate campus).

The definitions of teaching, research, and service set forth in *Faculty Tenure*, section 7.11, as approved by the Board of Regents in June 2007 will not apply to probationary faculty members appointed before July 1, 2007, if those faculty members have chosen to be evaluated on the basis of a different version of *Faculty Tenure* in place when they were initially appointed.

C. Variances

If it is impossible or impracticable to implement these procedures, a unit may apply to the Senior Vice President for Academic Affairs and Provost for a written variance. Variances will be given very sparingly, and will require that the unit take other steps to ensure that the process conforms as far as possible to the principles set forth here. Applications for variance must be made in writing; approval must

101 be given in writing by the Senior Vice President for Academic Affairs and Provost, who will consult with
102 the Faculty Senate Academic Freedom and Tenure Committee before acting on the request.

103
104 **D. Confidentiality of review materials**

105
106 All materials collected in the tenure or promotion file, all written reports of the deliberations, and all
107 written reviews by college and central administration, are private and must not be disclosed to anyone not
108 participating in the tenure or promotion decision, or in the review of that decision (e.g. members of the
109 Senate Judicial Committee or the Office of the General Counsel addressing complaints regarding a
110 promotion or tenure decision). Faculty members must destroy files given to them for review after the
111 promotion and tenure process is concluded.

112
113 **II. Tenure Procedures**

114
115 **A. Actions to be taken generally**

116
117 **1. Unit statement of criteria (7.12)**

118
119 *Faculty Tenure* requires every unit to have a document specifying the indices and standards that will be
120 used to evaluate candidates, and those standards will apply to all candidates for tenure in the unit, except
121 as modified for faculty appointed pursuant to a special contract (*Faculty Tenure*, sections 7.12 and 3.6).
122 When a unit adopts new criteria in accordance with established University procedures, "current
123 probationary faculty in the unit may elect to be evaluated on the criteria in the previous Subsection 7.12
124 Statement or on the new criteria. This option is also available to current tenured faculty in their evaluation
125 for promotion to the next level. Probationary or tenured faculty must make this decision within one year
126 of the date of administrative approval of the new criteria" (*Faculty Tenure*, Interpretation 6). The Senior
127 Vice President for Academic Affairs and Provost shall be responsible for obtaining an acknowledgment
128 from each probationary or tenured faculty member described in this paragraph and his/her unit head and
129 dean or chancellor, specifying the faculty member's choice, within the one-year period specified in
130 Interpretation 6 of *Faculty Tenure*.

131
132 **2. Regular voting rules**

133
134 Tenure votes are taken at meetings of the tenured faculty. A tenure vote may be taken at any annual-
135 review meeting during the probationary period, but must be taken in the last year of the probationary
136 period. See section D(9).

137
138 **a. Who is eligible to vote**

139
140 Attendance and participation at tenure and promotion meetings are essential obligations of the members
141 of the tenured faculty. The head of the unit must schedule the time and place of the formal meeting of the
142 tenured faculty well in advance, and must notify all tenured faculty members of the meeting. In ordinary
143 circumstances, at least one month's notice of the meeting should be given. All faculty members eligible to
144 vote are expected to review the candidate's file prior to the meeting and to attend the meeting unless
145 unable to do so for compelling reasons.

146
147 Only members of the tenured faculty of the unit have the right to participate in the meeting and vote on
148 granting tenure, except as specified in this paragraph. In the cases of small units, it may be appropriate to
149 include, in the discussion and vote on tenure, a professor or professors from another unit or units in the
150 college, campus, or University. Including additional faculty members is also warranted in cases of

151 candidates whose work encompasses multiple disciplines. In order for faculty members from outside the
152 unit to participate, the initiating unit and/or the dean or chancellor must submit a written request to
153 and obtain authorization in writing by the Senior Vice President for Academic Affairs and Provost.
154 The request must identify the faculty member under consideration, and give the name(s) and tenure
155 homes of those faculty members who will be asked to vote on the candidate and the reasons for including
156 them.

157
158 If the unit head is a member of the tenured faculty, he or she may participate and vote but has no
159 additional tie-breaking vote.

160
161 **b. Disqualifications**

162
163 Persons who are or were closely related to a candidate, or who have or have had an intimate personal
164 relationship with a candidate that could prejudice their judgment, must not attend or participate in the
165 meeting where that candidate is being considered. If the candidate (or another member of the tenured
166 faculty) wishes to challenge the participation of any member of the tenured faculty, that challenge must
167 be made in writing to the challenged faculty member and to the head of the unit at least two weeks before
168 the scheduled tenure meeting, stating the reasons for the challenge and setting forth the relevant evidence.
169 The fact that a member of the tenured faculty has formed a negative view of the candidate's teaching,
170 scholarship, or service during the course of the candidate's career is not a basis for disqualification. In
171 most cases, the unit head will decide whether the challenged faculty member may participate in the
172 decision. In cases where the unit head is the challenged faculty member, the decision will be made by the
173 dean, chancellor, or other administrator to whom the unit head reports. In doubtful cases, the Office of
174 Equal Opportunity and Affirmative Action should be consulted in reaching a decision about
175 disqualification, pursuant to its responsibilities under the Nepotism and Consensual Relationships Policy
176 of the Board of Regents. The record of the challenge and its resolution will be included in the file
177 forwarded for review. If the challenged faculty member is not permitted to participate in the discussion
178 and vote, that person shall be considered ineligible to vote and therefore shall not count toward the
179 quorum requirement established in these Procedures (see section 2(e)).

180
181 The same principles of disqualification apply to members of the review committees and to academic
182 administrators who may be called upon to review the matter.

183
184 **c. Voting procedures**

185
186 The vote is taken by written, unsigned secret ballot. An effort must be made to provide a copy of the file
187 to every tenured faculty member who will be absent from the meeting but wishes to cast a ballot. Such
188 faculty members must be given an opportunity to vote by written absentee ballot, which should be sent in
189 a sealed envelope to the unit head. Proxy votes, telephone votes, and email votes are not permitted.

190
191 **d. Questions to be voted upon**

192
193 During any annual-review meeting before the final probationary year, a unit may vote upon either (or
194 both) of the following questions:

- 195
196 Shall (the candidate) be recommended for tenure?
197 Shall (the candidate) be given notice of termination of appointment?

198

199 Any consideration of termination must be pursuant to the standards specified in Section 10 of these
200 Procedures.

201
202 If no vote is taken or if there is no majority for either motion, the appointment will be continued.

203
204 In the last year of the probationary period, the question should be "Shall (the candidate) be recommended
205 for tenure?" If there is no majority for that motion, the recommendation is automatically for termination
206 of the appointment.

207
208 **e. Required majority**

209
210 A quorum must be present for discussion and vote on promotion and tenure. A quorum is defined as more
211 than 50% of the faculty members eligible to vote on the matter. Unless the faculty of a unit adopts a rule
212 requiring an exceptional majority (see section 3 below), the action of the unit is based on the vote of the
213 majority of those voting on the question, including absentee ballots cast as specified in section 2(c).
214 Abstentions are not counted in determining whether a majority of those voting cast votes in favor of
215 tenure or promotion, as required to report an affirmative recommendation, but the number of abstentions
216 is reported as part of the vote tally and, in the review process, they will be considered an indication of
217 lack of support for the candidate by those abstaining. Abstentions are strongly discouraged. Tenured
218 faculty members have an obligation to decide whether or not a candidate merits tenure or promotion and
219 to vote for or against tenure or promotion.

220
221 If there is a tie vote, the recommendation is in the negative. In the final year of the probationary period, a
222 tie vote on the question of tenure automatically results in a recommendation for termination of the
223 appointment.

224
225 In a unit that has a rule requiring an exceptional majority (see section 3 below), if a recommendation to
226 grant tenure receives an ordinary majority but not the required exceptional majority, the unit must prepare
227 and send forward the file without a recommendation for tenure, unless the candidate requests in writing
228 that the file not be reviewed beyond the unit.

229
230 **f. Report of the vote**

231
232 In all cases, the actual vote is to be reported. The report should indicate the number eligible to vote, the
233 number present at the meeting, the number of affirmative and negative votes and abstentions, and the
234 number of absentee ballots cast. If there is a "reconsideration" after an initial vote, both the original and
235 the reconsidered vote must be reported. Although the unit's recommendation is based upon the required
236 majority by the rules applicable to the particular unit, reviewing committees and administrators may
237 legitimately take into consideration the relative size of the majority in conducting their own review of the
238 candidate.

239
240
241 **3. Rules requiring an exceptional majority**

242
243 As specified in section 2(e), if the unit or college does not specify otherwise, a majority of those voting on
244 a personnel question will take action for a unit, if a quorum is present. A unit or college may, however,
245 require an exceptional majority (for example, a 2/3 majority of those voting or an absolute majority of the
246 tenured members of the unit) as a prerequisite for a recommendation for tenure (*Faculty Tenure*, section
247 7.4 (d)). If a unit chooses to do so, it must adopt that rule well in advance of the meeting in which the
248 tenure decision will take place, normally no later than the end of the previous academic year. Any rule

249 requiring an absolute majority must also make provision for excusing members who are unable to
250 participate in person. All rules requiring special majorities must be reported to the dean or chancellor and
251 to the Senior Vice President for Academic Affairs and Provost and the Faculty Senate Academic Freedom
252 and Tenure Committee. The rule may be adopted as part of the college or unit constitution or as part of
253 the rules adopted under section 7.12 of *Faculty Tenure*. If such a rule is adopted, it must be included as
254 part of the unit statement required by section 7.12.

255
256 If a unit votes to change the majority required, with corresponding change to the 7.12 statement, current
257 probationary faculty members must choose whether to be considered under the old or new rule within
258 one year of the final approval of the new 7.12 statement by the Senior Vice President for Academic
259 Affairs and Provost (*Faculty Tenure*, Interpretation 6). The Senior Vice President for Academic Affairs
260 and Provost shall be responsible for obtaining an acknowledgment from each probationary or tenured
261 faculty member described in this paragraph and his/her unit head and dean or chancellor, specifying the
262 faculty member's choice, within the one-year period specified in Interpretation 6 of *Faculty Tenure*,

263
264 **B. Actions at the beginning of a probationary appointment**

265
266 **4. Explaining the process to the candidate**

267
268 In the first year of the probationary appointment, the unit head must review the terms of appointment with
269 the probationary candidate. This includes:

270
271 a. Making certain that credit for prior service has been granted and appropriately recorded, and that there
272 is a common understanding about the maximum length of the probationary period (*Faculty Tenure*,
273 section 5.4).

274
275 b. Supplying the candidate with copies of *Faculty Tenure*, these "Procedures," and the unit Statement
276 about tenure expectations (*Faculty Tenure*, section 7.12). If the candidate is unsure about the application
277 of the criteria, the head should seek to make that as clear as possible.

278
279 c. Informing the candidate about the procedures used by the unit to review teaching, research, and service.
280 The candidate must be informed about the annual-review process and made familiar with the annual
281 report on Appraisals of Probationary Faculty (President's Form 12) that will be completed. The candidate
282 must also be informed about his or her right to inspect the file and right of access to information.

283
284 The unit head must make a written summary of this meeting, including the time and date it took place,
285 and include it in the candidate's personnel record. The probationary faculty member must sign and date
286 this summary. The unit head must forward a copy of this signed summary to the dean or chancellor and
287 to the Senior Vice President for Academic Affairs and Provost.

288
289 **C. Annual review during the probationary period**

290
291 **5. Elements of the annual review process**

292
293 The process of reviewing a candidate's progress is continuous. It is intended to be encouraging and
294 nurturing, although it is necessarily evaluative. Especially in the early years of the probationary period,
295 the annual tenure review is intended to point out to the candidate his or her strengths and weaknesses, so
296 that the strengths can be built upon and the weaknesses remedied. Three elements are essential to this
297 process: information gathering, deliberation, and consultation with the candidate. The review is always to
298 be conducted in accordance with the unit statement required by section 7.12 of *Faculty Tenure*.

299
300 The procedures set forth in these paragraphs (5-8) are minimum requirements. Some units may prefer to
301 conduct a more formal annual review, comparable to the one that must take place when a formal
302 recommendation will be made regarding the candidate in the decision year.
303

304 **6. Collecting information on the candidate's performance**

305
306 The unit head has the responsibility to ensure that the unit gathers data annually about the candidate's
307 performance on all relevant criteria and must make the assembled file available to the candidate for his or
308 her review. These functions must be performed by the unit head or by a designated member or committee
309 of the tenured faculty and may not be delegated to staff or students, although they may play appropriate
310 supporting roles. The candidate must assist in the preparation of the file when asked to do so.
311

312 The annual review file should include as appropriate:

- 313
314 i. The candidate's current curriculum vitae and annual activity reports;
315
316 ii. Summaries of the candidate's teaching assignments, and student and peer evaluations, using the
317 methods of evaluation that have been adopted for the unit or college (see *Faculty Tenure (2007)*,
318 footnote 4, for the definition of teaching, or if the probationary faculty member is still governed
319 by Section 7.11 of *Faculty Tenure (2001)*, then see footnote 6 for the definition of teaching; see
320 also "Policy and Protocol on the Evaluation of Instruction" approved by the Faculty Senate);
321
322 iii. Summaries or copies of (or references to) the candidate's scholarly research or other creative
323 work (see *Faculty Tenure (2007)*, footnote 4 for the definition of scholarly research and other
324 creative work, or if the probationary faculty member is still governed by Section 7.11 of *Faculty*
325 *Tenure (2001)*, then see footnote 7 for the definition of research);
326
327 iv. Summaries of the candidate's service activities (see *Faculty Tenure (2007)*, footnote 4, for the
328 definition of service, or if the probationary faculty member is still governed by Section 7.11 of
329 *Faculty Tenure (2001)*, then see footnote 8 for the definition of service);
330
331 v. Copies of the Appraisal of Probationary Faculty forms for the current and previous years; and
332
333 vi. Any other relevant material.
334

335 The file may also include evaluations of the candidate's scholarly research or other creative work by
336 persons inside and outside the University.

337 The probationary faculty member has the right and responsibility to inspect the annual-review file
338 annually. He or she has a right to submit written comments and to add relevant materials to the file.
339 Material provided by a candidate should be identified as such.

340 The annual-review file is only one part of the candidate's personnel file in the unit and contains only those
341 materials that are relevant to an eventual tenure decision. It is accessible to the candidate and to all of the
342 tenured faculty members in the unit, while other portions of the candidate's personnel file are accessible
343 only to the candidate and to those who have reason to have access to particular information contained in
344 it.

345 **7. Annual review by the tenured faculty**

346 The tenured faculty members of the unit must review the progress of each probationary faculty member
347 annually, either at the annual tenure meeting or at a separate meeting. The files for the probationary
348 faculty members must be made available to the tenured faculty a reasonable time in advance of the
349 meeting. The annual review does not require a formal ballot or recommendation of the faculty, but units
350 may take a vote, if they wish, as specified in section 2(d). The balloting procedures, if any, must be
351 specified in the unit 7.12 statement. (Note that under *Faculty Tenure*, an appointment will automatically
352 be renewed annually until the maximum probationary period is reached, unless there is an earlier
353 recommendation for granting tenure or terminating the appointment.)

354 Under section 5.5 of *Faculty Tenure*, a probationary faculty member may request that his or her tenure
355 clock be stopped for one year at a time for the birth or adoption of a child, for caregiver responsibilities,
356 or for personal illness. Stopping the tenure clock is not a leave. If a faculty member has stopped the tenure
357 clock, this must be noted on President's Form 12 during the annual review. If a faculty member has
358 stopped the clock during one year of the probationary period (e.g., year 3), then the following year of the
359 probationary period is considered a continuation of that same year (in the example given, year 3 once
360 again). That is, this probationary faculty member would have an annual review each year, but the
361 expectations for the continuation year would not be equal to those for a new, separate year. During the
362 year or years that a faculty member has stopped the tenure clock, he or she continues with regular
363 teaching, research, and service activities as determined by established workload policies, but the
364 expectations for progress in research, teaching, and service are reduced during the time the tenure clock
365 has been stopped.

366 Probationary faculty members who stop the tenure clock for the conditions listed in *Faculty Tenure*
367 (section 5.5) must be allowed to do so without fear of prejudice on the part of the unit head or of the
368 tenured faculty members of the unit. Probationary faculty members may not be given notice of
369 termination of their appointment during a year in which the clock has been stopped except as otherwise
370 specified in *Faculty Tenure* (e.g. fiscal emergency, disciplinary action, etc.).

371 **8. Annual conference with the candidate**

372 The unit head must discuss annually with the candidate his or her progress toward achieving tenure. The
373 unit head also reports to the candidate the sense of the meeting of the tenured faculty, and any
374 recommendations made by it. If the candidate has not personally reviewed the individual evaluations of
375 performance contained in the file (as permitted by section 6), the unit head summarizes them. It is
376 important that this conversation be candid and that the candidate be clearly told if there are areas in which
377 performance needs to be improved. The candidate must be given a copy of the annual Appraisal of
378 Probationary Faculty report, which must reflect the major elements of this conversation, as well as a
379 written summary of any additional matters discussed. The annual Appraisal of Probationary Faculty
380 report must state clearly the concerns of the tenured faculty regarding the candidate's progress toward
381 tenure and must provide guidance for addressing any weaknesses that have been noted. The review of the
382 probationary faculty member by the tenured faculty, the conference with the probationary faculty
383 member, and the final written report must reflect the criteria and indices of performance in the unit's 7.12
384 statement. If the candidate has questions about the application of the criteria or about what he or she is
385 expected to do, the unit head must explain the criteria. If the candidate has stopped the tenure clock
386 according to section 5.5 of *Faculty Tenure*, the annual report must clearly report that fact.

387 The head of the unit must place in the candidate's file each year the Appraisal of Probationary Faculty
388 report (President's Form 12) and a written summary—with date and time specified—of any additional
389 matters discussed. This report is signed by the candidate and the unit head, and evaluated and signed by
390 the dean of the candidate's college or by the chancellor of the coordinate campus, and by the Senior Vice
391 President for Academic Affairs and Provost or Senior Vice President for the Health Sciences.

392 **D. Unit consideration of the candidate for tenure or for termination of his or her appointment**

393 **9. Tenure decision may be made at any time**

394 A decision on tenure may be made in any year of the probationary period, including the extended
395 probationary period of a candidate who has stopped the tenure clock according to section 5.5 of *Faculty*
396 *Tenure*.

397 A probationary faculty member may request an early tenure review; the unit will decide whether to
398 conduct it. Because the process of conducting a formal review involves a number of steps, including
399 external evaluations, and because there is a fixed time schedule for review of unit recommendations, a
400 decision to conduct a formal tenure review must be made well in advance of the date on which a vote will
401 be taken. In most cases, it will be necessary to initiate the process during the summer preceding the
402 academic year in which the vote will be taken.

403 A candidate must be considered in a formal tenure review no later than in the last year of the probationary
404 period; that is,

405 i. in the sixth year of an ordinary probationary period, or

406 ii. at the designated time in a shorter probationary period; or

407 iii. at the end of the extended probationary period for a candidate who has stopped the tenure clock
408 according to section 5.5 of *Faculty Tenure*; or

409 iv. at the time required by special contract.

410 A formal review may be initiated at any earlier time by the unit head or by vote of the tenured faculty of
411 the unit.

412 Candidates must be told that the outcome of an early tenure evaluation may be a recommendation for (1)
413 promotion and tenure; (2) continuation of the probationary appointment without tenure and promotion at
414 this time; or (3) termination.

415 **10. A decision to terminate an appointment**

416 A decision to recommend termination may be made in any year of the probationary period, except that
417 faculty members who have stopped the clock according to Section 5.5 of *Faculty Tenure* may not be
418 terminated during the year in which they received an extension of the tenure clock stopped except as
419 otherwise specified in *Faculty Tenure* (e.g. fiscal emergency, disciplinary action, etc.).

420 A unit may recommend termination of a candidate's appointment if his or her overall performance is so
421 clearly below the standards required by the unit's 7.12 statement that this course of action is appropriate,
422 or (2) performance on any of the primary criteria is so deficient that positive evaluation of the other
423 criteria would not warrant continuation of appointment. The reasons for this action must be clearly
424 documented in a written evaluation.

425 **11. Schedule for unit action**

426 The Senior Vice President for Academic Affairs and Provost (and the dean or chancellor) annually
427 establishes schedules for formal action by units and the subsequent review of those recommendations by
428 the colleges, campuses, and central administration. It is important that the units, colleges, and campuses
429 comply with these schedules, so that appropriate and unhurried review of decisions may take place and
430 required notice be given in a timely manner.

431 **12. Preparation of the file for tenure decisions**

432 The head of the unit has the responsibility for seeing that a file is prepared for each candidate, with the
433 help and advice of at least one senior faculty member. The file must contain relevant information on
434 teaching, scholarly research and other creative work, and service, and on other factors relevant to the
435 decision, including outside evaluations of the candidate's contributions to scholarly research and other
436 creative work. The unit should seek appraisals both from persons suggested by the candidate and from
437 other recognized scholars in the field. Units may determine a minimum number of external appraisals that
438 they require, but at least half, and no fewer than four, of the external reviews must be obtained from
439 individuals with no direct professional or personal interest in the advancement of the candidate's career
440 (for example, they should not be former advisors, mentors, co-authors, or co-investigators on previous
441 work). The file must specify clearly the relationship of each external reviewer to the candidate and should
442 contain a description of each external reviewer and his or her credentials to enable collegiate/campus
443 review committees and collegiate and central administrators to interpret reviews more fully. External
444 reviewers must be told that their evaluations will not be held confidential, because state law permits the
445 candidate to inspect them. They must be told if and when a candidate has stopped the tenure clock and for
446 how long. They are not told the reason that the tenure clock was stopped but should be advised to allow
447 for reduced productivity during the time the clock was stopped.

448 Relevant information must not be excluded from the file, but the weight to be given to the views of any
449 particular outside referee, internal evaluator, or student is a matter to be considered by the decision-
450 making bodies. Anonymous statements must not be included in the file and cannot be considered.
451 Unsolicited signed comments will be included in the file, if they are relevant and material to the decision.
452 Candidates are discouraged from soliciting comments or evaluations independently but are encouraged to
453 suggest names of evaluators.

454 This file is similar to that prepared for the annual review, but it should encompass the entire probationary
455 period. It includes:

- 456 i. The candidate's current curriculum vitae and a summary of the candidate's accomplishments
457 during the probationary period.
- 458 ii. A summary of the candidate's teaching assignments; student and peer evaluations, using the
459 methods of evaluation that have been adopted for the unit or college; and a statement by the

- 460 candidate on his/her teaching, including, for example, a discussion of teaching philosophy,
461 learning outcomes, and the like.
- 462 iii. A summary of the candidate's research or other scholarly contributions or creative work. (If
463 copies of the research itself are included in the basic file, they should not be forwarded in the
464 review process to central administration unless a specific request is made for them by the
465 reviewing authorities. The review will be conducted on the basis of summaries and evaluations.
466 Copies of the candidate's scholarly contributions are part of a supplementary file that will be
467 available upon request). Candidates must supply a research statement that describes his or her
468 program of scholarly research or creative work completed to date along with plans for future
469 work.
- 470 iv. A summary and narrative of the candidate's service activities.
- 471 v. A copy of the Appraisal of Probationary Faculty reports for each of the probationary years as well
472 as of other evaluations by the unit or unit head.
- 473 vi. Any other relevant material relating to the candidate's satisfaction of the requirements for tenure,
474 including evaluations, by persons inside and outside of the University, of the candidate's teaching,
475 scholarly research or other creative work, and service.

476 The candidate must assist in assembling the file if asked. The unit head must make the assembled file
477 available to the candidate for his or her review. The candidate has the right and responsibility to inspect
478 the file and the right to submit written comments and add relevant materials to the file. Material provided
479 by a candidate should be identified as such.

480 13. Vote and report of action

481 The unit takes a vote and reports the vote according to Section II.A.2. All reports must be dated.

482 The unit head (or the designated tenured faculty member or committee) prepares a draft report that states
483 the faculty's recommendation, specifies the results of all votes taken, summarizes the candidate's file, and
484 gives the reasons for the actions taken at the meeting of the tenured faculty, including any minority views
485 expressed at the meeting that had substantial support.

486 Serving in the capacity of the initial academic administrator, the unit head also prepares an additional
487 statement of his or her agreement or disagreement with the unit's recommendation, including the reasons
488 for any disagreement.

489 The draft report is made available to tenured faculty members, who may comment and suggest changes,
490 and may file separate reports if they believe that their views are not adequately reflected in the unit's
491 report. Copies of such separate reports must be given to the unit head and to the candidate. The
492 submission of such reports is the only appropriate way for faculty members to present their individual
493 views to those reviewing the unit recommendation. The unit head informs the candidate of the unit's
494 recommendation and of his or her own recommendation and gives the candidate a copy of each written
495 report. The candidate has the right to submit a supplementary statement on the unit review for inclusion in
496 the file. Copies of the statement must be given to the head of the unit and distributed to the tenured
497 faculty.

498 The unit forwards for review (1) the file, (2) the unit recommendation, (3) the unit head's
499 recommendation, (4) the unit report, (5) any separate statements by members of the tenured faculty, and
500 (6) any statement by the candidate. (As noted above, copies of the candidate's scholarly research or other
501 creative work are not to be forwarded, unless the reviewing authorities request them.)

502 **E. Review by college, campus, or alternative second-level review committee**

503 **14. Review by senior academic administrators**

504 The unit recommendation is reviewed by the academic administrator to whom the unit head reports. For
505 most units on the Twin Cities campus, the review is by the dean of the college, who may receive a
506 recommendation from a collegiate review committee (see section 15). For colleges in the Academic
507 Health Center, the dean's recommendation is forwarded for review to the Senior Vice President for the
508 Health Sciences.

509 For coordinate campuses, the review is by the chancellor, who will receive a recommendation from a
510 campus-wide review committee.

511 For Twin-Cities-campus colleges that are not subdivided into departments, the review is by the Senior
512 Vice President for Academic Affairs and Provost, who will receive a recommendation from a review
513 committee composed of tenured faculty both from the participating colleges and from other colleges he or
514 she designates. [At the present time (2007), the Humphrey Institute, the Carlson School of Management,
515 and the Law School use this process, as do some colleges in the Academic Health Center.]

516 The membership of all review committees is public information. An administrator reviewing a tenure
517 recommendation may consult with persons other than the review committee advising him or her, but each
518 such consultation must be recorded in the candidate's file. Senior academic administrators and review
519 committees are governed by the rules for voting and for evaluating candidates contained in sections 15-
520 17.

521 **15. Collegiate or campus review committee**

522 The collegiate or campus review committee is composed of members of the tenured faculty of the college
523 or campus, selected as specified in the college or campus procedures. The committee makes a
524 recommendation to the dean or chancellor. Because faculty members have an obligation to participate in
525 the unit recommendation and participate in the evaluation of the candidate throughout the probationary
526 period, a member of a unit who serves on a review committee may not participate in the discussion of or
527 vote on a candidate from his or her own unit. A committee member also may not participate in a review in
528 circumstances in which he or she would have been disqualified by part 2(b) of these Procedures (because
529 of a relationship with the candidate).

530 The review committee must review the matter on the basis of the file and other documents that are
531 forwarded to the dean. It may not seek additional information either from members of the unit or from
532 others. If it finds that the file contains insufficient information for it to make an informed judgment, or if
533 there are matters on which the committee would like clarification from the unit or the candidate, the
534 committee may return the file to the dean or chancellor with a request that the unit and candidate be asked
535 to provide the additional information required.

536 **16. Applicable all-University criteria and standards**

537 The review committee and the senior academic administrators must use the indices and standards for
538 tenure applicable to the unit and position involved. These are the criteria set forth in section 7.11 of
539 *Faculty Tenure*, the unit statement required under section 7.12, and in any special contract under section
540 3.6. Subject only to that limitation, the review committee should examine the merits of the decision, not
541 merely its procedural regularity.

542 The review committee must make a written recommendation to the dean or chancellor. If it differs from
543 the recommendation of the unit, it must state the reasons for such difference. A copy of the
544 recommendation must be supplied to the candidate. The recommendation becomes part of the candidate's
545 file.

546 **17. Requests for reconsideration or for more information**

547 Any senior academic administrator reviewing the unit recommendation may ask the unit to reconsider the
548 matter on the basis of his or her specific concerns expressed in writing. In such case, the tenured faculty
549 must meet again to discuss the question in light of the specific comments or questions. The procedures are
550 analogous to those for initial consideration by the unit. The vote is again by secret ballot. A supplemental
551 report is prepared and transmitted in the same manner as the original recommendation.

552 Before making a decision on review, the senior academic administrator, either on his or her own motion
553 or at the request of the review committee, may ask the unit or the candidate to provide additional
554 information. Providing such additional information does not require full unit consideration, but the
555 candidate should be informed of the request and given an opportunity to participate in the reply to it.

556 **18. Dean's recommendation**

557 The dean makes the recommendation for the college. (A dean or other reviewing officer may not
558 participate in circumstances in which the officer would be disqualified from participating in the initial
559 decision. See part 2(b) of these Procedures.) Copies of the recommendation must be sent to the unit head
560 and made available to the tenured members of the unit faculty, and to the candidate

561 Every case must be forwarded to the Senior Vice President for Academic Affairs and Provost for review
562 and appropriate action. The forwarded file must include (a) the unit recommendation, together with the
563 unit report and letters of recommendation upon which it relies; (b) the unit head's report; (c) the review
564 committee's report; (d) the report of the senior academic administrators who reviewed the unit
565 recommendation; and (e) any other information in the file requested by the Senior Vice President for
566 Academic Affairs and Provost. Other portions of the file, e.g., publications or teaching evaluations, must
567 be retained by the college or campus and forwarded if requested.

568 The dean must add to the file any communication that has been received concerning the candidate and
569 memoranda summarizing conversations he or she has had concerning the candidate that have been taken
570 into consideration in any way.

571 **F. Central review and action**

572 **19. Central review**

573 The Senior Vice President for Academic Affairs and Provost has the final authority to make
574 recommendations on tenure and promotion to the Board of Regents for all Twin Cities colleges and
575 coordinate campuses. (1) He or she receives recommendations from the deans who report directly to him
576 or her. (2) Chancellors of coordinate campuses forward their recommendations both to the Senior Vice
577 President for Academic Affairs and Provost for decision and to the Senior Vice President for System
578 Academic Administration for information. (3) In the Academic Health Center, after receiving the
579 recommendation of the dean, the Senior Vice President for the Health Sciences forwards his or her
580 recommendation to the Senior Vice President for Academic Affairs and Provost. Senior vice presidents
581 and chancellors may consult with other persons before making a decision, but each such consultation or
582 review shall be recorded in the candidate's file.

583 If the Senior Vice President for Academic Affairs and Provost uses a committee to review one or more
584 candidates, it is subject to restrictions and procedures parallel to those governing the collegiate review
585 committees. If the Senior Vice President for Academic Affairs and Provost consults with individuals
586 about a particular candidate's qualifications, the consultation must be recorded and included in the
587 candidate's file.

588 **20. Standards for review and action**

589 The central reviews and action must be based upon the standards for tenure applicable to the unit and
590 position involved. See part 16 of these procedures.

591 **21. Action by the Senior Vice President for Academic Affairs and Provost; explanations to dean/ 592 chancellor and unit**

593 The Senior Vice President for Academic Affairs and Provost takes action on the recommendation. If his
594 or her action differs from the recommendation of the unit, he or she must send to the tenured faculty
595 members of the unit and to the candidate a written statement of the substantive reasons for differing with
596 the judgment of the tenured faculty of the unit (*Faculty Tenure*, section 7.63). That statement must be an
597 evaluation of the candidate's substantive qualifications and include an explanation of the reasons for
598 which the Senior Vice President for Academic Affairs and Provost believes it appropriate to substitute his
599 or her judgment for that of the unit with regard to those qualifications. It may not be a mere recital of the
600 evaluations in the file with a different conclusion. If the Senior Vice President for Academic Affairs and
601 Provost's action differs from the recommendation of the dean or chancellor, a similar written statement
602 must be sent to the dean or chancellor and to the candidate.

603 The Senior Vice President for Academic Affairs and Provost presents his or her final recommendations to
604 the Board of Regents for its decision whether to confer indefinite tenure and/or to approve promotion.

605 **III. Promotion Procedures**

606 Procedures for considering promotions either to the rank of associate professor or to the rank of professor
607 must parallel those for considering candidates for tenure, from the unit review through the central review.
608 *Faculty Tenure* requires that promotion of a probationary appointee to the rank of associate professor or
609 professor must be accompanied by an appointment with indefinite tenure. Since the standards for granting
610 tenure are ordinarily as least as rigorous as those for promotion to associate professor, the granting of
611 tenure to an assistant professor will ordinarily be accompanied by a promotion to associate professor.
612 Promotion to the rank of professor may occur at any time after appointment as or promotion to the rank of
613 associate professor.

614
615 Consideration for promotion to the rank of professor may occur whenever it is initiated by the unit head
616 or by the professors in the unit. An associate professor may at any time request that a promotion review
617 take place, but the professors in the unit will decide whether to conduct it. If an associate professor
618 believes that a decision not to conduct a promotion review was made unfairly, he or she may raise his or
619 her concerns with the unit head, the dean or chancellor, or the Senior Vice President for Academic Affairs
620 and Provost.

621
622 Unit criteria for promotion to the rank of professor as written in the unit 7.12 statement must be consistent
623 with those stated in section 9.2 of *Faculty Tenure*, Criteria for Promotion to Professor. Only tenured
624 professors senior in rank to the candidate for promotion are eligible to vote on the promotion. Some units
625 may have heads who are associate professors. These individuals are not eligible to vote in the cases of
626 candidates for promotion to professor, but they are required to attend the promotion review meeting and
627 to write a statement as the unit head as part of the promotion process. The unit report must be written by a
628 professor who attended the meeting. The role of the unit head who is an associate professor is to listen to
629 the discussion, to provide information, and to make a statement of his or her agreement or disagreement
630 with the unit recommendation.

631
632 In the cases of small units with very few faculty members at the rank of professor, especially if an
633 associate professor is the unit head, it may be appropriate to include, in the discussion and vote on
634 promotion, a professor or professors from another unit or units in the college, campus, or University.
635 Including additional faculty members is also warranted in cases of candidates whose work encompasses
636 multiple disciplines. In order for faculty members from outside the unit to participate, the initiating unit
637 and/or the dean or chancellor must submit a written request to and obtain authorization in writing
638 by the Senior Vice President for Academic Affairs and Provost. The request must identify the faculty
639 member under consideration, and give the name(s) and tenure homes of those faculty members who will
640 be asked to vote on the candidate and the reasons for including them.

641
642 When an associate professor who is the head of a unit is being considered for promotion, a tenured full
643 professor in the unit may act as the unit head for the purposes of considering that promotion. With the
644 concurrence of the faculty in the unit, this role could alternatively be assumed by a tenured full professor
645 from another unit who has been approved by the Senior Vice President for Academic Affairs and Provost
646 (see paragraph above). The tenured full professor acting as unit head will write a letter summarizing his or
647 her own evaluation of the candidate in lieu of the letter from the unit head that is ordinarily part of a
648 promotion dossier.

649 The Senior Vice President for Academic Affairs and Provost presents his or her final recommendations to
650 the Board of Regents for its approval or disapproval of promotion.

1 **Procedures Foror Reviewing the Performance of Candidates for Tenure and/or Promotion:**
2 **Tenure-Track Probationary and Tenured Faculty**

3 These procedures are adopted in accordance with sections 7.4, 7.61, and 16.
4

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47
48 **III. Promotion Procedures**
49

50 **These procedures are adopted in accordance with sections 6, 7, 9, and 16 of the Board of Regents Policy:**
51 **Faculty Tenure. They cover additional elements of the tenure-granting and review process.**

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52 **Purposes and Application**

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53
54 **I. Introduction**

55
56 **A. Scope**

57
58 This document contains procedural rules for the consideration of candidates for tenure and promotion. It
59 is also intended to provide a convenient guide for department/unit heads, tenured faculty members, and
60 candidates, to assist in understanding and organizing the tenure-granting and promotion process. Those
61 faculty members who are governed by contracts with the University Education Association abide by some
62 parts of these Procedures and not others, as specified in their individual contracts. The document restates
63 some of the rules which that are found in the Regulations, and Board of Regents Policy: *Faculty Tenure*
64 and adds additional procedures. For additional detail or interpretation, see the relevant sections of the
65 Regulations *Faculty Tenure*.

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66
67 The mandatory rules (those using "must" or "shall") established in this document are minimum
68 requirements. Departments and colleges are free to supplement them to
69 provide further protection for candidates. Other procedures are simply
70 recommendations or expressions of permission (those using "should," or "may"). Units, colleges, and
71 campuses are encouraged to supplement them with additional rules that clarify the process for considering
72 tenure and promotion while protecting the rights of candidates. Any supplemental rules must be
73 consistent with these Procedures and with *Faculty Tenure*.

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74
75 The procedural rules established by this document are intended to guide the orderly and fair
76 administration of the tenure process. Departments/Units, review committees, department/unit heads, and
77 other administrators should carefully follow them. They do not, however, give candidates or others a right
78 to. But a decision may not be set aside a decision based merely upon because there have been minor or
79 technical variations/deviations from the rules. The Judicial Committee will review a claim that a has
80 authority to take action based on procedural irregularities only if the personnel decision was procedurally
81 incorrect only if it was based in significant degree upon a substantial and prejudicial deviation from
82 the procedures prescribed. (Regulations" (*Faculty Tenure*, section 7.7(3)).

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83 If it is impossible or impracticable to implement these procedures, a department may apply to the senior
84 vice president for academic affairs and the Tenure Committee for a written variance. Variances will be
85 given very sparingly, and will be accompanied by requirements that the department take other steps to
86 insure that the process conforms to the maximum extent possible to the principles set forth here.
87 Applications for variance should be made in writing; variances will be granted only in writing.

88 These procedural rules apply to decisions which are made in the 1986-87 and following academic years.
89 These procedures must be followed, even if the original appointment was made under the Regulations in
90 effect prior to July 1, 1985. Since the procedures do not deviate in substance from those previously in
91 effect, there should be little difficulty in complying with them.

92 **Tenure Procedures**

93 **Actions to be taken generally, without respect to individual candidates.**

94 **1. Departmental statement of criteria.**

95 The Regulations require every department to have a document "that articulates with reasonable specificity
96 the indices and standards which will be used to evaluate" candidates. (See Regulations, section 7.12).
97 These standards will apply to all candidates for tenure in the department, unless there is a special contract
98 to the contrary. (See Regulations, section 3.6).

99 **2. Alternative voting rules.**

100 Ordinarily, a majority of those present and voting on a personnel question will take action for a
101 department, if a quorum is present. A department or college may, however, require an exceptional
102 majority (such as a 2/3 majority or an absolute majority of the members of the department) as a
103 prerequisite for a recommendation for tenure. (See Regulations, section 7.4 (d)). If it wishes to do so, it
104 must adopt that rule well in advance of the meeting in which the tenure decision will take place, normally
105 no later than the previous school year. Any rule requiring an absolute majority should also have a
106 provision for excusing members who are unable to participate. All rules requiring special majorities must
107 be reported to the senior academic administrator and the Tenure Committee. The rule may be adopted as
108 part of the college or department constitution or as part of the rules adopted under 7.12, or by separate
109 action. (Current departmental or collegiate rules of this kind remain in effect and need not be readopted.)
110 However if the rule is adopted, it must be reproduced and distributed with the departmental rules adopted
111 under section 7.12. If both the college and the unit have rules to this effect, the more rigorous requirement
112 prevails.

113 **At the beginning of a probationary appointment**

114 **3. Explaining the process to the candidate.**

115 Explaining the process to the candidate. Early in the probationary appointment, the department head must
116 review the terms of appointment with the probationary candidate. This includes:

- 117 • Making certain that credit or prior service has been granted and appropriately recorded, and that
118 there is a common understanding about the maximum length of the probationary period. See
119 Tenure Regulations, section 5.4.
- 120 • Supplying the candidate with copies of the Regulations, these "Procedures", and the Departmental
121 Statement about tenure expectations. See Regulations, section 7.12. If the candidate is unsure
122 about the application of the criteria, the discussion should seek to make that as clear as possible.
- 123 • Informing the candidate about the procedures used in the department to review teaching, research,
124 and service. The candidate must be informed about the annual review process and made familiar
125 with the annual report on Appraisals of Probationary Faculty (President's Form 12) which will be
126 completed. The candidate must also be informed about his or her right to inspect the file and right
127 of access to information.

128 The department head must make a written summary of this meeting, including the time and date it took
129 place, and include it in the candidate's personnel record.

130 **Annually during the probationary period**

131 **4. Elements of the review process.**

132 The process of reviewing a candidate's progress is a continuous one. It is intended to have an encouraging
133 and nurturing function, although it is by necessity judgmental. Especially in the early years of the
134 probationary period, the annual tenure review is intended to point out to the candidate strengths and
135 weaknesses, so that the strengths can be built upon and the weaknesses remedied. Three elements are
136 essential to this process: information gathering, deliberation, and consultation with the candidate.

137 The procedures set forth in these paragraphs (4-7) are minimum requirements. Some departments may
138 prefer to conduct a more formal review, equivalent to that which must take place when a formal
139 recommendation will be made regarding the candidate's appointment.

140 **5. Collecting information on the candidate's performance.**

141 Beginning with the first year of the probationary period, the department has the responsibility for
142 gathering data about the candidate's performance on all relevant criteria. This function must be performed
143 by the department head or by a designated tenured faculty member or committee. Responsibility for this
144 function must not be delegated to staff or students, although they may play appropriate supporting roles.
145 the department head has the responsibility to see that the function is performed, and may request the
146 candidate to assist in the preparation of the file.

147 The file should include:

- 148 i. The candidate's current resume, and annual activity reports.
- 149 ii. Summaries of the candidate's teaching assignments, including student and peer evaluations, using
150 the methods of evaluation which have been adopted for the department or college.
- 151 iii. Summaries or copies of (or references to) the candidate's research or other scholarly
152 contributions.
- 153 iv. Summaries of the candidate's discipline-related service activities if those are part of the mission
154 of the department.
- 155 v. Summaries of the supplementary criteria which the candidate may have satisfied, such as
156 participation in the governance of the University or department.
- 157 vi. Copies of the Appraisal of Probationary Faculty forms for this and previous years.
- 158 vii. Any other relevant material relating to the satisfaction by the candidate of the requirements for
159 tenure.
- 160 viii. Where relevant, evaluations of the candidate's discipline-related service activities.

161 The file may also include:

- 162 ix. Evaluations of the candidate's teaching, research or scholarly contributions by persons inside and
163 outside of the University.

164 The candidate has the duty to inspect the basic file (items i through viii) annually and to assist in
165 assembling it. The candidate also has a right, but not a duty, to inspect individual evaluations contained in
166 it. The candidate has a right to add material to the file or to make written comments; material provided by
167 the candidate should be identified as such.

168 Note that this file is only part of the candidate's personnel file in the department. This tenure file contains
169 only those matters which are relevant to an eventual tenure decision. It is accessible to the candidate and
170 to all of the tenure faculty in the department, while other portions of the candidate's personnel file are

171 accessible only to the candidate and to those who have reason to deal with particular information
172 contained in it.

173 **6. Annual review by tenured faculty.**

174 The file must be made available to the tenure faculty of the unit. The tenure faculty must review the
175 progress of each probationary candidate annually, either at the annual tenure meeting or at a separate
176 meeting. The annual review does not require a formal ballot or recommendation of the faculty, but
177 departments may choose to proceed by taking a ballot, if they wish. (Note that under the Regulations, an
178 appointment will automatically be renewed annually until the maximum probationary period is reached,
179 unless there is a recommendation for formal action, granting tenure or terminating the appointment, at
180 some earlier time.)

181 **7. Annual conference with the candidate.**

182 The department head must discuss with the candidate the candidate's progress toward achieving tenure.
183 The department head also reports the sense of the meeting of the tenured faculty, and any
184 recommendations made by it, to the candidate. If the candidate has not personally reviewed the individual
185 evaluations of performance contained in the file, the department head summarizes these. It is important
186 that this conversation be candid, and that the candidate be clearly told if there are areas in which
187 performance needs to be improved. The candidate must be given a copy of the annual Appraisal of
188 Probationary Faculty report, which should parallel the major elements of this conversation, as well as a
189 written summary of any additional matters discussed. If there are questions about the application of the
190 criteria or about what the candidate is expected to do, the department head should amplify upon the
191 criteria.

192 The head of the department places the Appraisal of Probationary Faculty report and a written summary of
193 any additional matters discussed in the candidate's permanent file. The summary indicates the date and
194 time of the meeting.

195 **Formal consideration of the candidate for tenure or for termination of the appointment.**

196 **8. Tenure decision may be made at any time.**

197 Tenure decision may be made at any time. A decision on tenure may be made in any year of the
198 probationary period. It is not necessary to wait until the end of the probationary period, either to
199 recommend tenure or to recommend termination of an appointment.

200 A candidate must be considered in a formal tenure review in the last year of the probationary period, i.e.,
201 the sixth year of an ordinary probationary period or the designated time in a shorter probationary period.
202 A formal review must also take place at the times required by special contract. A formal review may be
203 initiated at any earlier time by the department head or by vote of the tenure faculty of the department. The
204 candidate may request an early tenure review; the department will decide whether to conduct it. Because
205 the process of conducting a formal review involves a number of steps, including the solicitation of
206 external evaluations, and because there is a fixed time schedule for review of departmental
207 recommendations, a decision to conduct a formal tenure review must be made well in advance of the date
208 at which a vote will be taken. Frequently it will be necessary to initiate the process during the summer
209 preceding the academic year in which the vote will be taken.

210 **9. A decision to terminate appointment may be made at any time.**

211 At any time, a department may recommend termination of a candidate's appointment. It may do so
212 without seeking outside review, if the candidate's performance is so clearly short of the required standards
213 that this course of action is appropriate. A department does not need to seek outside review if the
214 candidate's performance on any of the primary criteria is so deficient that positive evaluation of the other
215 criteria would not warrant appointment.

216 **10. Schedule for departmental action.**

217 The senior vice president for academic affairs (and the dean's offices) annually establish schedules for
218 formal action by departments and the subsequent review of those recommendations by the colleges and
219 by central administration. It is important that the departments and colleges comply with these schedules,
220 so that appropriate and unburied review of decisions may take place, and so that any required notice may
221 be given in a timely manner.

222 **11. Preparation of the file for tenure decisions.**

223 The head of the department (or designated committee) has the responsibility for seeing that a file is
224 prepared for each candidate, containing relevant information on teaching, research, and service, and on
225 other factors relevant to the decision, including outside evaluations of the candidate's contributions to
226 scholarship. The department should seek appraisals both from persons suggested by the candidate and
227 from other recognized scholars in the field. Referees must be informed that their evaluations will not be
228 held confidential, since state law may permit the candidate to inspect them.

229 Relevant information must not be excluded from the file, but the weight to be given to the views of any
230 particular referee is a matter to be considered by the decision-making bodies. Anonymous statements
231 must not be included in the file and cannot be considered. Unsolicited signed comments will be included
232 in the file, if they are relevant and material to the decision. Candidates are discouraged from
233 independently soliciting comments or evaluations, but are encouraged to suggest names of evaluators to
234 the department.

235 This file is similar to that prepared for the annual review, but it should encompass the entire probationary
236 period. It includes:

- 237 i. The candidate's current resume, and a summary of the candidate's accomplishments during the
238 probationary period.
- 239 ii. Summaries of the candidate's teaching assignments, including student evaluations, using the
240 methods of evaluation which have been adopted for the department or college.
- 241 iii. Summaries or copies of (or references to) the candidate's research or other scholarly
242 contributions. (If actual copies are included in the basic file, they should not be forwarded in the
243 review process unless a specific request is made for them by the reviewing authorities. The
244 review will be conducted on the basis of summaries and evaluations).
- 245 iv. Summaries of the candidate's discipline-related service activities, if those are part of the mission
246 of the department.
- 247 v. Summaries of the supplementary criteria which the candidate may have satisfied, such as
248 participation in the governance of the University and department.
- 249 vi. Copies of the Appraisal of Probationary Faculty reports for each of the probationary years, as
250 well as of other evaluations by the department or department head.

- 251 vii. Any other relevant material relating to the satisfaction by the candidate of the requirements for
252 tenure.

253 viii. Where relevant, evaluations of the candidate's discipline-related service activities.

254 If the candidate is being considered for tenure, the file must also include:

- 255 ix. Evaluations of the candidate's teaching, research or other scholarly contributions by persons
256 inside and outside of the University.

257 The candidate has the duty to inspect the basic file (items i through viii), to assist in assembling it, and to
258 inspect it for accuracy and completeness. The candidate also has a right, but not a duty, to inspect
259 individual evaluations contained in it. If the candidate has not personally reviewed the individual
260 evaluations of performance, the department head summarizes them for the candidate. The candidate has a
261 right to add material to the file or to make written comments; material provided by the candidate should
262 be identified as such.

263 **12. Attendance at tenure meetings.**

264 Attendance and participation at tenure review meetings are important parts of the duty of a member of the
265 tenured faculty. The head of the department must schedule the time and place of the formal meeting of the
266 tenured faculty well in advance, and must notify all tenured faculty of that time. In ordinary
267 circumstances, at least one month's notice of the meeting should be given to assure that tenured faculty
268 members can attend the meeting. All members of the tenured faculty may participate regardless of rank.

269 **13. Who is eligible to vote.**

270 Only members of the tenured faculty of the department have the right to attend or participate in the
271 meeting and vote. However, prior to a specific tenure decision, permission may be sought from the senior
272 academic administrator in writing for other faculty to participate and vote. The request must specify the
273 probationer under consideration, the name(s) of those for whom exceptions are sought, and a justification
274 for each such exception. Authorization in writing by the senior academic administrator must be obtained
275 for all exceptional participation and voting. If the department head is a member of the tenured faculty, he
276 or she may participate and vote, but has no additional tie-breaking vote.

277 **14. Disqualifications.**

278 Persons who are or were closely related to a candidate by blood or marriage, or who have or have had an
279 intimate personal relationship with a candidate which would prejudice their judgment, must not attend or
280 participate in the meeting with respect to that candidate. If the candidate (or another member of the
281 tenured faculty) wishes to challenge the participation of any member of the tenured faculty, that challenge
282 must be made in writing to the challenged faculty member and to the head of the department at least two
283 weeks before the scheduled tenure meeting, stating the reasons for the challenge and setting forth the
284 relevant evidence. The fact that a member of the tenured faculty has formed a view of the candidate's
285 teaching, research, or scholarship during the course of the candidate's career is not a basis for
286 disqualification. The challenged faculty member will decide whether to participate in the decision. The
287 record of the challenge and its resolution will be included in the file which is forwarded for review.

288 The same principles of disqualification apply to members of the review committees and to department
289 heads, deans, senior academic administrators, and other academic administrators who may be called upon
290 to review the matter.

291 **15. Voting procedures.**

292 The decision is by written, unsigned secret ballot. An effort must be made to provide a copy of the file to
293 every tenured faculty member who will be absent from the meeting, but who wishes to participate in the
294 vote. Such faculty members must be given an opportunity to vote by written absentee ballot, which
295 should be sent in a sealed envelope. Proxy vote or telephone votes are not permitted.

296 **16. Questions to be voted upon.**

297 If it is desired to take a vote at any time before the final probationary year, either (or both) of the
298 following questions may be put:

299 These procedural rules apply to individuals regardless of the date of their initial appointment.

300
301
302
303 **B. Definitions**

304
305 Candidates include: (1) probationary faculty members eligible for indefinite tenure and promotion to the
306 next rank; (2) probationary faculty members eligible to receive tenure in rank; and (3) faculty members
307 with tenure eligible for promotion in rank.

308
309 In these Procedures, "unit" means the academic unit that makes the initial recommendation on tenure and
310 promotion. That may be a department, a college (in colleges not subdivided into departments), or a
311 division (on a coordinate campus).

312
313 The definitions of teaching, research, and service set forth in *Faculty Tenure*, section 7.11, as approved by
314 the Board of Regents in June 2007 will not apply to probationary faculty members appointed before July
315 1, 2007, if those faculty members have chosen to be evaluated on the basis of a different version of
316 *Faculty Tenure* in place when they were initially appointed.

317
318 **C. Variances**

319
320 If it is impossible or impracticable to implement these procedures, a unit may apply to the Senior Vice
321 President for Academic Affairs and Provost for a written variance. Variances will be given very
322 sparingly, and will require that the unit take other steps to ensure that the process conforms as far as
323 possible to the principles set forth here. Applications for variance must be made in writing; approval must
324 be given in writing by the Senior Vice President for Academic Affairs and Provost, who will consult with
325 the Faculty Senate Academic Freedom and Tenure Committee before acting on the request.

326
327 **D. Confidentiality of review materials**

328
329 All materials collected in the tenure or promotion file, all written reports of the deliberations, and all
330 written reviews by college and central administration, are private and must not be disclosed to anyone not
331 participating in the tenure or promotion decision, or in the review of that decision (e.g. members of the

332 Senate Judicial Committee or the Office of the General Counsel addressing complaints regarding a
333 promotion or tenure decision). Faculty members must destroy files given to them for review after the
334 promotion and tenure process is concluded.

335
336 **II. Tenure Procedures**

337
338 **A. Actions to be taken generally**

339
340 **1. Unit statement of criteria (7.12)**

341 Faculty Tenure requires every unit to have a document specifying the indices and standards that will be
342 used to evaluate candidates, and those standards will apply to all candidates for tenure in the unit, except
343 as modified for faculty appointed pursuant to a special contract (Faculty Tenure, sections 7.12 and 3.6).
344 When a unit adopts new criteria in accordance with established University procedures, "current
345 probationary faculty in the unit may elect to be evaluated on the criteria in the previous Subsection 7.12
346 Statement or on the new criteria. This option is also available to current tenured faculty in their evaluation
347 for promotion to the next level. Probationary or tenured faculty must make this decision within one year
348 of the date of administrative approval of the new criteria" (Faculty Tenure, Interpretation 6). The Senior
349 Vice President for Academic Affairs and Provost shall be responsible for obtaining an acknowledgment
350 from each probationary or tenured faculty member described in this paragraph and his/her unit head and
351 dean or chancellor, specifying the faculty member's choice, within the one-year period specified in
352 Interpretation 6 of Faculty Tenure.

353
354
355 **2. Regular voting rules**

356
357 Tenure votes are taken at meetings of the tenured faculty. A tenure vote may be taken at any annual-
358 review meeting during the probationary period, but must be taken in the last year of the probationary
359 period. See section D(9).

360
361 **a. Who is eligible to vote**

362
363 Attendance and participation at tenure and promotion meetings are essential obligations of the members
364 of the tenured faculty. The head of the unit must schedule the time and place of the formal meeting of the
365 tenured faculty well in advance, and must notify all tenured faculty members of the meeting. In ordinary
366 circumstances, at least one month's notice of the meeting should be given. All faculty members eligible to
367 vote are expected to review the candidate's file prior to the meeting and to attend the meeting unless
368 unable to do so for compelling reasons.

369
370 Only members of the tenured faculty of the unit have the right to participate in the meeting and vote on
371 granting tenure, except as specified in this paragraph. In the cases of small units, it may be appropriate to
372 include, in the discussion and vote on tenure, a professor or professors from another unit or units in the
373 college, campus, or University. Including additional faculty members is also warranted in cases of
374 candidates whose work encompasses multiple disciplines. In order for faculty members from outside the
375 unit to participate, the initiating unit and/or the dean or chancellor must submit a written request to
376 and obtain authorization in writing by the Senior Vice President for Academic Affairs and Provost.
377 The request must identify the faculty member under consideration, and give the name(s) and tenure
378 homes of those faculty members who will be asked to vote on the candidate and the reasons for including
379 them.

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381 If the unit head is a member of the tenured faculty, he or she may participate and vote but has no
382 additional tie-breaking vote.

383
384 **b. Disqualifications**

385
386 Persons who are or were closely related to a candidate, or who have or have had an intimate personal
387 relationship with a candidate that could prejudice their judgment, must not attend or participate in the
388 meeting where that candidate is being considered. If the candidate (or another member of the tenured
389 faculty) wishes to challenge the participation of any member of the tenured faculty, that challenge must
390 be made in writing to the challenged faculty member and to the head of the unit at least two weeks before
391 the scheduled tenure meeting, stating the reasons for the challenge and setting forth the relevant evidence.
392 The fact that a member of the tenured faculty has formed a negative view of the candidate's teaching,
393 scholarship, or service during the course of the candidate's career is not a basis for disqualification. In
394 most cases, the unit head will decide whether the challenged faculty member may participate in the
395 decision. In cases where the unit head is the challenged faculty member, the decision will be made by the
396 dean, chancellor, or other administrator to whom the unit head reports. In doubtful cases, the Office of
397 Equal Opportunity and Affirmative Action should be consulted in reaching a decision about
398 disqualification, pursuant to its responsibilities under the Nepotism and Consensual Relationships Policy
399 of the Board of Regents. The record of the challenge and its resolution will be included in the file
400 forwarded for review. If the challenged faculty member is not permitted to participate in the discussion
401 and vote, that person shall be considered ineligible to vote and therefore shall not count toward the
402 quorum requirement established in these Procedures (see section 2(e)).

403
404 The same principles of disqualification apply to members of the review committees and to academic
405 administrators who may be called upon to review the matter.

406
407 **c. Voting procedures**

408
409 The vote is taken by written, unsigned secret ballot. An effort must be made to provide a copy of the file
410 to every tenured faculty member who will be absent from the meeting but wishes to cast a ballot. Such
411 faculty members must be given an opportunity to vote by written absentee ballot, which should be sent in
412 a sealed envelope to the unit head. Proxy votes, telephone votes, and email votes are not permitted.

413
414 **d. Questions to be voted upon**

415
416 During any annual-review meeting before the final probationary year, a unit may vote upon either (or
417 both) of the following questions:

- 418
419 • Shall (the candidate) be recommended for tenure?
420 • Shall (the candidate) be given notice of termination of appointment?

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421
422 Any consideration of termination must be pursuant to the standards specified in Section 10 of these
423 Procedures.

424
425 If no vote is taken or if there is no majority for either motion, the appointment will be continued.

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426
427 In the last year of the probationary period, the question should be "Shall (the candidate) be recommended
428 for tenure?" If there is no majority for that motion, the recommendation is automatically for termination
429 of the appointment.

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430 17.

431 **e. Required majority:**
432 Except as indicated

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433 A quorum must be present for discussion and vote on promotion and tenure. A quorum is defined as more
434 than 50% of the faculty members eligible to vote on the matter. Unless the faculty of a unit adopts a rule
435 requiring an exceptional majority (see section 3 below), the action of the department unit is based on the
436 vote of the majority of those voting on the question. If there is a tie vote, the recommendation is in the
437 negative. In the final year of the probationary period, a tie vote on the question of tenure creates an
438 automatic recommendation for termination of the appointment.

439 In a department which has a rule requiring an alternative majority (see section 2 above), including absentee ballots
440 cast as specified in section 2 above), if a recommendation to grant tenure receives an ordinary majority,
441 but not the required exceptional majority, the department must prepare and send forward the file, but
442 without a recommendation for tenure, unless the candidate requests in writing that no further review take
443 place (c). Abstentions are not counted in determining whether a majority of those voting cast votes in
444 favor of tenure or promotion, as required to report an affirmative recommendation, but the number of
445 abstentions are reported as part of the vote tally and, in the review process, they will be considered an
446 indication of lack of support for the candidate by those abstaining. Abstentions are strongly discouraged.
447 Tenured faculty members have an obligation to decide whether or not a candidate merits tenure or
448 promotion and to vote for or against tenure or promotion.
449 In all cases, the actual vote is to be reported. The report should indicate the number who are qualified to
450 vote, the number of affirmative and negative votes, the number of persons present at the meeting who
451 abstained, the number who were absent and not voting. It should also indicate how many absentee ballots
452 were cast.
453 If there is a tie vote, the recommendation is in the negative. In the final year of the probationary period, a
454 tie vote on the question of tenure automatically results in a recommendation for termination of the
455 appointment.

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456
457 In a unit that has a rule requiring an exceptional majority (see section 3 below), if a recommendation to
458 grant tenure receives an ordinary majority but not the required exceptional majority, the unit must prepare
459 and send forward the file without a recommendation for tenure, unless the candidate requests in writing
460 that the file not be reviewed beyond the unit.

461 **f. Report of the vote**

462
463
464 In all cases, the actual vote is to be reported. The report should indicate the number eligible to vote, the
465 number present at the meeting, the number of affirmative and negative votes and abstentions, and the
466 number of absentee ballots cast. If there is a "reconsideration" after an initial vote, both the original and
467 the reconsidered vote should must be fully reported. Although the department's unit's recommendation is
468 based upon the required majority by the rules applicable to the particular department unit, reviewing
469 committees and administrators may legitimately take into consideration the strength relative size of the
470 majority in conducting their own review of the candidate.

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471 18. Report

472
473 **3. Rules requiring an exceptional majority**

474
475 As specified in section 2(e), if the unit or college does not specify otherwise, a majority of those voting on
476 a personnel question will take action: for a unit, if a quorum is present. A unit or college may, however,
477 require an exceptional majority (for example, a 2/3 majority of those voting or an absolute majority of the

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478 tenured members of the unit) as a prerequisite for a recommendation for tenure (*Faculty Tenure*, section
479 7.4 (d)). If a unit chooses to do so, it must adopt that rule well in advance of the meeting in which the
480 tenure decision will take place, normally no later than the end of the previous academic year. Any rule
481 requiring an absolute majority must also make provision for excusing members who are unable to
482 participate in person. All rules requiring special majorities must be reported to the dean or chancellor and
483 to the Senior Vice President for Academic Affairs and Provost and the Faculty Senate Academic Freedom
484 and Tenure Committee. The rule may be adopted as part of the college or unit constitution or as part of
485 the rules adopted under section 7.12 of *Faculty Tenure*. If such a rule is adopted, it must be included as
486 part of the unit statement required by section 7.12.

487 If the department (a) recommends tenure, or (b) recommends termination of the appointment, or (c)
488 recommends continuation of the appointment because of a simple majority, but not a required exceptional
489 majority, favored tenure, the department must make a report and forward the report and the candidate's
490 file to the dean for review. The dean may require the department to do so in other cases.

491 The department head (or the designated tenured faculty member or committee) prepares a draft report
492 which states the faculty's recommendation, reports all votes taken, summarizes the candidate's file, and
493 summarizes the reason for the action expressed at the meeting of the tenure faculty (including any
494 minority views expressed at the meeting which had substantial support).

495 Serving in the capacity of the initial academic administrator, the department head also prepares an
496 additional statement of personal agreement or disagreement with the department's recommendation,
497 including the reasons for any disagreement.

498 The draft report is made available to the tenured faculty, who may comment and suggest changes. Faculty
499 members may file separate reports if they believe that their views are not adequately reflected in the
500 departmental report. Copies of such separate reports must be given to the department head and to the
501 candidate. The submission of such reports is the only appropriate way for faculty members to present
502 their separate views to the dean or to the collegiate or University review bodies.

503 The department head informs the candidate of the department's recommendation and of the department
504 head's own recommendation. The department head also gives the candidate a copy of the final report if
505 the candidate requests it.

506 The candidate has the right to submit a supplementary statement to the dean and college review
507 committee. Copies of the statement must be given to the head of the department and distributed to the
508 tenured faculty.

509 The department forwards the following material to the dean for review: the file, the departmental
510 recommendation, the department head's recommendation, the departmental report, any separate
511 statements by members of the tenured faculty, and any supplementary statement of the candidate. (Note
512 that copies of the candidate's scholarly works are not to be forwarded, unless the reviewing authorities
513 request them.)

514 **Review by college**

515 **19. Review by dean of college.**

516 Review by dean of college. The recommendation is forwarded to the college office, where it is reviewed
517 by the dean who may be advised by a collegiate review committee. The dean may also consult with other
518 persons before making decisions but each such consultation or review shall be recorded in the candidate's
519 file.

520 In collegiate units where the college is not subdivided into departments, the recommendation is forwarded
521 directly to the senior academic administrator. (See part 24 of these procedures, below.)

522 **20. College review committee.**

523 The collegiate review committee is composed of members of the tenured faculty of the college. A college
524 may designate two or more review committees for different fields of emphasis. The membership list
525 if a unit votes to change the majority required, with corresponding change to the 7.12 statement, current
526 probationary faculty members must choose whether to be considered under the old or new rule within
527 one year of the final approval of the new 7.12 statement by the Senior Vice President for Academic
528 Affairs and Provost (*Faculty Tenure*, Interpretation 6). The Senior Vice President for Academic Affairs
529 and Provost shall be responsible for obtaining an acknowledgment from each probationary or tenured
530 faculty member described in this paragraph and his/her unit head and dean or chancellor, specifying the
531 faculty member's choice, within the one-year period specified in Interpretation 6 of *Faculty Tenure*.
532

533 **B. Actions at the beginning of a probationary appointment**

534

535 **4. Explaining the process to the candidate**

536

537 In the first year of the probationary appointment, the unit head must review the terms of appointment with
538 the probationary candidate. This includes:

539

540 a. Making certain that credit for prior service has been granted and appropriately recorded, and that there
541 is a common understanding about the maximum length of the probationary period (*Faculty Tenure*,
542 section 5.4).

543

544 b. Supplying the candidate with copies of *Faculty Tenure*, these "Procedures," and the unit Statement
545 about tenure expectations (*Faculty Tenure*, section 7.12). If the candidate is unsure about the application
546 of the criteria, the head should seek to make that as clear as possible.

547

548 c. Informing the candidate about the procedures used by the unit to review teaching, research, and service.
549 The candidate must be informed about the annual-review process and made familiar with the annual
550 report on Appraisals of Probationary Faculty (President's Form 12) that will be completed. The candidate
551 must also be informed about his or her right to inspect the file and right of access to information.

552

553 The unit head must make a written summary of this meeting, including the time and date it took place,
554 and include it in the candidate's personnel record. The probationary faculty member must sign and date
555 this summary. The unit head must forward a copy of this signed summary to the dean or chancellor and
556 to the Senior Vice President for Academic Affairs and Provost.

557

558 **C. Annual review during the probationary period**

559

560 **5. Elements of the annual review process**

561

562 The process of reviewing a candidate's progress is continuous. It is intended to be encouraging and
563 nurturing, although it is necessarily evaluative. Especially in the early years of the committee is public.
564 The committee is advisory. During the probationary period, the annual tenure review is intended to point out to the
565 dean. The Regulations provide that a faculty member may not serve on a review committee if that faculty
566 member participated in the initial recommendation. Since faculty members have an obligation to
567 participate in the departmental recommendation and ordinarily participate in evaluation of the candidate
568 throughout the probationary period, a member of a department cannot properly participate in the review
569 of that department's recommendation. A committee member also cannot participate in a review in
570 circumstances in which candidate his or her strengths and weaknesses, so that committee member would
571 have been disqualified by part 14 of these "Procedures" from participating in an initial decision on the
572 candidate the strengths can be built upon and the weaknesses remedied. Three elements are essential to
573 this process: information gathering, deliberation, and consultation with the candidate. The review is
574 always to be conducted in accordance with the unit statement required by section 7.12 of *Faculty Tenure*.

575 The review committee must review the matter on the basis of the file and other documents which are
576 forwarded to the dean. It may not seek additional information, either from members of the department or
577 from others. If it finds that the file contains insufficient information for it to make an informed judgment,
578 or if there are matters on which the committee would like clarification from the department or the
579 candidate, the committee may return the file to the dean with a request that the department and candidate
580 be asked to provide the additional information.

581 **21. Applicable criteria and standards.**

582 The review committee and the dean must use the criteria and standards for tenure applicable to the
583 department and position involved. These are the criteria set forth in section 7.11 of the Regulations, the
584 standards in the departmental statement required under section 7.12, and in any special contract under
585 section 3.6. Subject only to that limitation, the review committee should examine the merits of the
586 decision, not merely its procedural regularity.

587 The review committee must make a written recommendation to the dean. If it differs from the
588 recommendation of the department, it must state the reasons for such difference. A copy of the
589 recommendation must be supplied to the candidate. The recommendation becomes part of the candidate's
590 file.

591 **22. Requests for reconsideration; requests for more information.**

592 The dean may ask the department to reconsider the matter on the basis of specified concerns which are
593 expressed in writing. In such case, the tenured faculty must reassemble and again discuss the question in
594 light of the dean's comments or questions. The procedures are analogous to those stated above at parts 12
595 through 15 of these procedures. The vote is again by secret ballot. A supplemental report is prepared and
596 transmitted in the same manner as the original recommendation. (See part 18.)

597 The dean also may ask the department or the candidate to provide additional information before making
598 the decision, either on the dean's own motion or at the request of the review committee. The provision of
599 such additional information does not require full departmental consideration, but the candidate should be
600 informed of the request and given an opportunity to participate in the reply to it.

601 **23. Dean's recommendation.**

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602 The dean makes the recommendation for the college. (A dean or other reviewing officer may not
603 participate in circumstances in which the officer would be disqualified from participating in the initial
604 decision. See part 14 of these procedures.) Copies of the recommendation must be sent to the department
605 and to the candidate.

606 The matter must be forwarded to the senior academic administrator for review and appropriate action, if
607 the recommendation involves (a) granting tenure, (b) terminating the appointment, (c) renewal of the
608 appointment when the final recommendation of the department was for some other action, or (d) renewal
609 of the appointment when a simple majority of the department (but not a required exceptional majority)
610 favored the granting of tenure.

611 The dean must forward for review (a) the departmental recommendation, together with the departmental
612 report and letters of recommendation upon which it relies, (b) the department head's report, (c) the review
613 committee's report, (d) the dean's own report, and (e) any other information in the file requested by the
614 senior academic administrator. Other portions of the file, e.g., original publications or teaching
615 evaluations, should be retained by the College until completion of the review process and forwarded if
616 requested.

617 The dean must add to the file any communication which has been received with respect to the candidacy,
618 and memorandum summarizing any conversation which he or she has had with respect to it, which has
619 been taken into consideration in any way.

620 **Central Review and action**

621 **24. Central Review.**

622 After receiving the recommendation of the dean, the senior academic administrator makes a final
623 decision. The senior academic administrator may also consult with other persons before making a
624 decision, but each such consultation or review shall be recorded in the candidate's file.

625 If the senior academic administrator uses a review committee to review one or more candidates, it is
626 subject to restrictions and procedures parallel to those imposed upon the collegiate review committees. If
627 the senior academic administrator consults with individuals about a particular candidate's qualifications,
628 the consultation and basis for judgment must be recorded.

629 **25. Standards for review and action.**

630 The central reviews and action must be based upon the standards for tenure applicable to the department
631 and position involved. See part 21 of these procedures.

632 **26. Action by the senior academic administrator; explanations to dean and department.**

633 The senior academic administrator takes action on the recommendation. If the senior academic
634 administrator's action differs from the recommendation of the Department, the senior academic
635 administrator must send to the tenured faculty of the department and to the candidate a written statement
636 of the substantive reasons for differing from the judgment of the tenured faculty of the department. (See
637 section 7.63 of the Regulations.) That statement must be an evaluation of the candidate's substantive
638 qualifications on the merits and include an explanation of the reasons on which the senior academic

639 administrator believes it appropriate to substitute his or her judgment for that of the department with
640 regard to those qualifications. It may not be a mere recitation of the reviews which have taken place. If
641 the senior academic administrator's action differs from the recommendation of the Dean, a similar
642 statement must be sent to the Dean.

643 **Procedures and Criteria for Promotions**

644 **27. Procedures for Promotions.**

645 Procedures for considering promotions should parallel those for consideration of candidates for tenure.

646 Consideration for promotion must take place whenever the unit recommends a probationary Assistant
647 Professor for tenure. A separate vote on promotion should be recorded and forwarded.

648 Probationary faculty with the rank of instructor who are granted tenure must also be promoted under
649 section 6 of the tenure code; a separate vote is therefore inappropriate.

650 Consideration for promotion may occur whenever it is initiated by the department head or by the faculty
651 senior in rank to the candidate. The candidate may request that a review take place at any time, but the
652 faculty senior in rank will decide whether to conduct it.

653 The body which makes the recommendation consists of all members of the regular faculty of the
654 department senior in rank to the candidate. (Both tenured and probationary faculty senior in rank may
655 vote.) Adjunct and nonregular faculty senior in rank may be consulted, but have no vote, unless an
656 exception has been provided by analogy to that provided in part 13. Otherwise, the procedures of parts 12,
657 13, 14, 15, and 17 apply.

658 **28. Criteria for promotions.**

659 While a decision to grant tenure is based upon a demonstrated potential to continue to contribute
660 significantly to the mission of the University and to its programs or teaching, research, and discipline-
661 related service. (See section 7.11 of the Regulations, reproduced as an Appendix to this document),
662 promotion in rank is based on actual achievement in these areas:

663 Promotion to the rank of associate professor is based upon professional distinction in research and
664 demonstrated effectiveness in teaching and advising students, and, where relevant, in discipline-related
665 service. Promotion to the rank of professor requires, in addition, a national or international scholarly
666 reputation in the individual's field of study.

667 **Appendix: Criteria for Tenure**

668 **Tenure Regulations 7.11 and 7.12**

669 **7.11 General Criteria.**

670 The basis for awarding indefinite tenure is the determination that the achievements of an individual have
671 demonstrated the individual's potential to continue to contribute significantly to the mission of the
672 University [3] and to its programs of teaching, research, and service over the course of the faculty

673 member's academic career. [4] The primary [5] criteria for demonstrating this potential are effectiveness in
674 teaching [6] and professional distinction in research [7]; outstanding discipline-related service
675 contributions [8] will also be taken into account where they are an integral part of the mission of the
676 academic unit. The relative importance of the criteria may vary in different academic units, but each of
677 the criteria must be considered in every decision. [9]

678 **7.12 Departmental Statement.**

679 Each academic unit must have a document that articulates with reasonable specificity the indices and
680 standards which will be used to evaluate whether candidates meet the criteria of Section 7.11. The
681 document must comply with those standards, but should make their application more specific. Each such
682 document is subject to review by the dean or other appropriate academic administrator and by the senior
683 academic administrator and by the senior vice president for academic affairs. Each academic unit must
684 provide each probationary faculty member with a copy of the document at the beginning of the
685 probationary service.

686 **Footnotes**

687 [3] The mission of the University includes, where appropriate, outreach activity that extends a faculty
688 member's teaching, research and service beyond the campus or to nontraditional groups of students and
689 citizens. Not every faculty member will have outreach responsibilities.

690 [4] For interpretation and possible applications, see the interpretative comment that will be provided in
691 accordance with the provisions of section 16.2.

692 [5] Criteria other than those expressly listed in this sentence must be explicitly stated and justified in terms
693 of the mission of the University. Such additional criteria may not impinge upon the academic freedom of
694 the probationary faculty member.

695 [6] "Teaching" is not limited to credit-producing classroom instruction. It encompasses other forms of
696 communication of knowledge (both to students registered in the University and to other persons in the
697 community) as well as the supervision or advising of individual graduate or undergraduate students.

698 [7] "Research" is not limited to the publication of scholarly works. It includes activities which lead to the
699 public availability of products or practices which have a significance to society, such as artistic
700 production or the development of new technology or scientific procedures.

701 [8] "Service" means performance within the faculty member's academic expertise and the mission of the
702 academic unit. It does not include performance of quasi-administrative functions such as membership on
703 faculty or senate committees or other similar activities; those activities are relevant only to the limited
704 extent set forth in the following paragraph. Where service is not an integral part of the mission of the
705 academic unit, a faculty member's service may be considered, but is not a prerequisite to the awarding of
706 tenure.

707 Other exceptions may be made only in exceptional circumstances by means of special contract, as
708 provided in section 3.6.

709 The individual's participation in the governance of the institution and other services to the University and
710 service to the academic unit may be taken into consideration, but are not in themselves bases for awarding
711 tenure.

712 [9] Indefinite tenure may be granted at any time when the candidate has satisfied the requirements. A
713 probationary appointment must be terminated when the appointee fails to satisfy the criteria in the last
714 year of probationary service and may be terminated earlier if it appears that the appointee is not making
715 satisfactory progress toward meeting the criteria within that period.

716 The procedures set forth in these paragraphs (5-8) are minimum requirements. Some units may prefer to
717 conduct a more formal annual review, comparable to the one that must take place when a formal
718 recommendation will be made regarding the candidate in the decision year.
719

720
721 **6. Collecting information on the candidate's performance**

722
723 The unit head has the responsibility to ensure that the unit gathers data annually about the candidate's
724 performance on all relevant criteria and must make the assembled file available to the candidate for his or
725 her review. These functions must be performed by the unit head or by a designated member or committee
726 of the tenured faculty and may not be delegated to staff or students, although they may play appropriate
727 supporting roles. The candidate must assist in the preparation of the file when asked to do so.
728

729 The annual review file should include as appropriate:

- 730
- 731 i. The candidate's current curriculum vitae and annual activity reports;
 - 732
 - 733 ii. Summaries of the candidate's teaching assignments, and student and peer evaluations, using the
734 methods of evaluation that have been adopted for the unit or college (see *Faculty Tenure (2007)*,
735 footnote 4, for the definition of teaching, or if the probationary faculty member is still governed
736 by Section 7.11 of *Faculty Tenure (2001)*, then see footnote 6 for the definition of teaching; see
737 also "Policy and Protocol on the Evaluation of Instruction" approved by the Faculty Senate);
 - 738
 - 739 iii. Summaries or copies of (or references to) the candidate's scholarly research or other creative
740 work (see *Faculty Tenure (2007)*, footnote 4 for the definition of scholarly research and other
741 creative work, or if the probationary faculty member is still governed by Section 7.11 of *Faculty*
742 *Tenure (2001)*, then see footnote 7 for the definition of research);
 - 743
 - 744 iv. Summaries of the candidate's service activities (see *Faculty Tenure (2007)*, footnote 4, for the
745 definition of service, or if the probationary faculty member is still governed by Section 7.11 of
746 *Faculty Tenure (2001)*, then see footnote 8 for the definition of service);
 - 747
 - 748 v. Copies of the Appraisal of Probationary Faculty forms for the current and previous years; and
 - 749
 - 750 vi. Any other relevant material.

751
752 The file may also include evaluations of the candidate's scholarly research or other creative work by
753 persons inside and outside the University.

754 The probationary faculty member has the right and responsibility to inspect the annual-review file
755 annually. He or she has a right to submit written comments and to add relevant materials to the file.
756 Material provided by a candidate should be identified as such.

757 The annual-review file is only one part of the candidate's personnel file in the unit and contains only those
758 materials that are relevant to an eventual tenure decision. It is accessible to the candidate and to all of the
759 tenured faculty members in the unit, while other portions of the candidate's personnel file are accessible
760 only to the candidate and to those who have reason to have access to particular information contained in
761 it.

762 **7. Annual review by the tenured faculty**

763 The tenured faculty members of the unit must review the progress of each probationary faculty member
764 annually, either at the annual tenure meeting or at a separate meeting. The files for the probationary
765 faculty members must be made available to the tenured faculty a reasonable time in advance of the
766 meeting. The annual review does not require a formal ballot or recommendation of the faculty, but units
767 may take a vote, if they wish, as specified in section 2(d). The balloting procedures, if any, must be
768 specified in the unit 7.12 statement. (Note that under *Faculty Tenure*, an appointment will automatically
769 be renewed annually until the maximum probationary period is reached, unless there is an earlier
770 recommendation for granting tenure or terminating the appointment.)

771 Under section 5.5 of *Faculty Tenure*, a probationary faculty member may request that his or her tenure
772 clock be stopped for one year at a time for the birth or adoption of a child, for caregiver responsibilities,
773 or for personal illness. Stopping the tenure clock is not a leave. If a faculty member has stopped the tenure
774 clock, this must be noted on President's Form 12 during the annual review. If a faculty member has
775 stopped the clock during one year of the probationary period (e.g., year 3), then the following year of the
776 probationary period is considered a continuation of that same year (in the example given, year 3 once
777 again). That is, this probationary faculty member would have an annual review each year, but the
778 expectations for the continuation year would not be equal to those for a new, separate year. During the
779 year or years that a faculty member has stopped the tenure clock, he or she continues with regular
780 teaching, research, and service activities as determined by established workload policies, but the
781 expectations for progress in research, teaching, and service are reduced during the time the tenure clock
782 has been stopped.

783 Probationary faculty members who stop the tenure clock for the conditions listed in *Faculty Tenure*
784 (section 5.5) must be allowed to do so without fear of prejudice on the part of the unit head or of the
785 tenured faculty members of the unit. Probationary faculty members may not be given notice of
786 termination of their appointment during a year in which the clock has been stopped except as otherwise
787 specified in *Faculty Tenure* (e.g. fiscal emergency, disciplinary action, etc.).

788 **8. Annual conference with the candidate**

789 The unit head must discuss annually with the candidate his or her progress toward achieving tenure. The
790 unit head also reports to the candidate the sense of the meeting of the tenured faculty, and any
791 recommendations made by it. If the candidate has not personally reviewed the individual evaluations of
792 performance contained in the file (as permitted by section 6), the unit head summarizes them. It is
793 important that this conversation be candid and that the candidate be clearly told if there are areas in which
794 performance needs to be improved. The candidate must be given a copy of the annual Appraisal of
795 Probationary Faculty report, which must reflect the major elements of this conversation, as well as a

796 written summary of any additional matters discussed. The annual Appraisal of Probationary Faculty
797 report must state clearly the concerns of the tenured faculty regarding the candidate's progress toward
798 tenure and must provide guidance for addressing any weaknesses that have been noted. The review of the
799 probationary faculty member by the tenured faculty, the conference with the probationary faculty
800 member, and the final written report must reflect the criteria and indices of performance in the unit's 7.12
801 statement. If the candidate has questions about the application of the criteria or about what he or she is
802 expected to do, the unit head must explain the criteria. If the candidate has stopped the tenure clock
803 according to section 5.5 of *Faculty Tenure*, the annual report must clearly report that fact.

804 The head of the unit must place in the candidate's file each year the Appraisal of Probationary Faculty
805 report (President's Form 12) and a written summary—with date and time specified—of any additional
806 matters discussed. This report is signed by the candidate and the unit head, and evaluated and signed by
807 the dean of the candidate's college or by the chancellor of the coordinate campus, and by the Senior Vice
808 President for Academic Affairs and Provost or Senior Vice President for the Health Sciences.

809 **D. Unit consideration of the candidate for tenure or for termination of his or her appointment**

810 **9. Tenure decision may be made at any time**

811 A decision on tenure may be made in any year of the probationary period, including the extended
812 probationary period of a candidate who has stopped the tenure clock according to section 5.5 of *Faculty*
813 *Tenure*.

814 A probationary faculty member may request an early tenure review; the unit will decide whether to
815 conduct it. Because the process of conducting a formal review involves a number of steps, including
816 external evaluations, and because there is a fixed time schedule for review of unit recommendations, a
817 decision to conduct a formal tenure review must be made well in advance of the date on which a vote will
818 be taken. In most cases, it will be necessary to initiate the process during the summer preceding the
819 academic year in which the vote will be taken.

820 A candidate must be considered in a formal tenure review no later than in the last year of the probationary
821 period; that is,

822 i. in the sixth year of an ordinary probationary period, or

823 ii. at the designated time in a shorter probationary period; or

824 iii. at the end of the extended probationary period for a candidate who has stopped the tenure clock
825 according to section 5.5 of *Faculty Tenure*; or

826 iv. at the time required by special contract.

827 A formal review may be initiated at any earlier time by the unit head or by vote of the tenured faculty of
828 the unit.

829 Candidates must be told that the outcome of an early tenure evaluation may be a recommendation for (1)
830 promotion and tenure; (2) continuation of the probationary appointment without tenure and promotion at
831 this time; or (3) termination.

832 **10. A decision to terminate an appointment**

833 A decision to recommend termination may be made in any year of the probationary period, except that
834 faculty members who have stopped the clock according to Section 5.5 of *Faculty Tenure* may not be
835 terminated during the year in which they received an extension of the tenure clock stopped except as
836 otherwise specified in *Faculty Tenure* (e.g. fiscal emergency, disciplinary action, etc.).

837 A unit may recommend termination of a candidate's appointment if his or her overall performance is so
838 clearly below the standards required by the unit's 7.12 statement that this course of action is appropriate,
839 or (2) performance on any of the primary criteria is so deficient that positive evaluation of the other
840 criteria would not warrant continuation of appointment. The reasons for this action must be clearly
841 documented in a written evaluation.

842 **11. Schedule for unit action**

843 The Senior Vice President for Academic Affairs and Provost (and the dean or chancellor) annually
844 establishes schedules for formal action by units and the subsequent review of those recommendations by
845 the colleges, campuses, and central administration. It is important that the units, colleges, and campuses
846 comply with these schedules, so that appropriate and unhurried review of decisions may take place and
847 required notice be given in a timely manner.

848 **12. Preparation of the file for tenure decisions**

849 The head of the unit has the responsibility for seeing that a file is prepared for each candidate, with the
850 help and advice of at least one senior faculty member. The file must contain relevant information on
851 teaching, scholarly research and other creative work, and service, and on other factors relevant to the
852 decision, including outside evaluations of the candidate's contributions to scholarly research and other
853 creative work. The unit should seek appraisals both from persons suggested by the candidate and from
854 other recognized scholars in the field. Units may determine a minimum number of external appraisals that
855 they require, but at least half, and no fewer than four, of the external reviews must be obtained from
856 individuals with no direct professional or personal interest in the advancement of the candidate's career
857 (for example, they should not be former advisors, mentors, co-authors, or co-investigators on previous
858 work). The file must specify clearly the relationship of each external reviewer to the candidate and should
859 contain a description of each external reviewer and his or her credentials to enable collegiate/campus
860 review committees and collegiate and central administrators to interpret reviews more fully. External
861 reviewers must be told that their evaluations will not be held confidential, because state law permits the
862 candidate to inspect them. They must be told if and when a candidate has stopped the tenure clock and for
863 how long. They are not told the reason that the tenure clock was stopped but should be advised to allow
864 for reduced productivity during the time the clock was stopped.

865 Relevant information must not be excluded from the file, but the weight to be given to the views of any
866 particular outside referee, internal evaluator, or student is a matter to be considered by the decision-
867 making bodies. Anonymous statements must not be included in the file and cannot be considered.
868 Unsolicited signed comments will be included in the file, if they are relevant and material to the decision.
869 Candidates are discouraged from soliciting comments or evaluations independently but are encouraged to
870 suggest names of evaluators.

871 This file is similar to that prepared for the annual review, but it should encompass the entire probationary
872 period. It includes:

- 873 i. The candidate's current curriculum vitae and a summary of the candidate's accomplishments
874 during the probationary period.
- 875 ii. A summary of the candidate's teaching assignments; student and peer evaluations, using the
876 methods of evaluation that have been adopted for the unit or college; and a statement by the
877 candidate on his/her teaching, including, for example, a discussion of teaching philosophy,
878 learning outcomes, and the like.
- 879 iii. A summary of the candidate's research or other scholarly contributions or creative work. (If
880 copies of the research itself are included in the basic file, they should not be forwarded in the
881 review process to central administration unless a specific request is made for them by the
882 reviewing authorities. The review will be conducted on the basis of summaries and evaluations.
883 Copies of the candidate's scholarly contributions are part of a supplementary file that will be
884 available upon request). Candidates must supply a research statement that describes his or her
885 program of scholarly research or creative work completed to date along with plans for future
886 work.
- 887 iv. A summary and narrative of the candidate's service activities.
- 888 v. A copy of the Appraisal of Probationary Faculty reports for each of the probationary years as well
889 as of other evaluations by the unit or unit head.
- 890 vi. Any other relevant material relating to the candidate's satisfaction of the requirements for tenure,
891 including evaluations, by persons inside and outside of the University, of the candidate's teaching,
892 scholarly research or other creative work, and service.
- 893 The candidate must assist in assembling the file if asked. The unit head must make the assembled file
894 available to the candidate for his or her review. The candidate has the right and responsibility to inspect
895 the file and the right to submit written comments and add relevant materials to the file. Material provided
896 by a candidate should be identified as such.

897 **13. Vote and report of action**

- 898 The unit takes a vote and reports the vote according to Section II.A.2. All reports must be dated.
- 899 The unit head (or the designated tenured faculty member or committee) prepares a draft report that states
900 the faculty's recommendation, specifies the results of all votes taken, summarizes the candidate's file, and
901 gives the reasons for the actions taken at the meeting of the tenured faculty, including any minority views
902 expressed at the meeting that had substantial support.
- 903 Serving in the capacity of the initial academic administrator, the unit head also prepares an additional
904 statement of his or her agreement or disagreement with the unit's recommendation, including the reasons
905 for any disagreement.
- 906 The draft report is made available to tenured faculty members, who may comment and suggest changes,
907 and may file separate reports if they believe that their views are not adequately reflected in the unit's
908 report. Copies of such separate reports must be given to the unit head and to the candidate. The
909 submission of such reports is the only appropriate way for faculty members to present their individual

910 views to those reviewing the unit recommendation. The unit head informs the candidate of the unit's
911 recommendation and of his or her own recommendation and gives the candidate a copy of each written
912 report. The candidate has the right to submit a supplementary statement on the unit review for inclusion in
913 the file. Copies of the statement must be given to the head of the unit and distributed to the tenured
914 faculty.

915 The unit forwards for review (1) the file, (2) the unit recommendation, (3) the unit head's
916 recommendation, (4) the unit report, (5) any separate statements by members of the tenured faculty, and
917 (6) any statement by the candidate. (As noted above, copies of the candidate's scholarly research or other
918 creative work are not to be forwarded, unless the reviewing authorities request them.)

919 **E. Review by college, campus, or alternative second-level review committee**

920 **14. Review by senior academic administrators**

921 The unit recommendation is reviewed by the academic administrator to whom the unit head reports. For
922 most units on the Twin Cities campus, the review is by the dean of the college, who may receive a
923 recommendation from a collegiate review committee (see section 15). For colleges in the Academic
924 Health Center, the dean's recommendation is forwarded for review to the Senior Vice President for the
925 Health Sciences.

926 For coordinate campuses, the review is by the chancellor, who will receive a recommendation from a
927 campus-wide review committee.

928 For Twin-Cities-campus colleges that are not subdivided into departments, the review is by the Senior
929 Vice President for Academic Affairs and Provost, who will receive a recommendation from a review
930 committee composed of tenured faculty both from the participating colleges and from other colleges he or
931 she designates. [At the present time (2007), the Humphrey Institute, the Carlson School of Management,
932 and the Law School use this process, as do some colleges in the Academic Health Center.]

933 The membership of all review committees is public information. An administrator reviewing a tenure
934 recommendation may consult with persons other than the review committee advising him or her, but each
935 such consultation must be recorded in the candidate's file. Senior academic administrators and review
936 committees are governed by the rules for voting and for evaluating candidates contained in sections 15-
937 17.

938 **15. Collegiate or campus review committee**

939 The collegiate or campus review committee is composed of members of the tenured faculty of the college
940 or campus, selected as specified in the college or campus procedures. The committee makes a
941 recommendation to the dean or chancellor. Because faculty members have an obligation to participate in
942 the unit recommendation and participate in the evaluation of the candidate throughout the probationary
943 period, a member of a unit who serves on a review committee may not participate in the discussion of or
944 vote on a candidate from his or her own unit. A committee member also may not participate in a review in
945 circumstances in which he or she would have been disqualified by part 2(b) of these Procedures (because
946 of a relationship with the candidate).

947 The review committee must review the matter on the basis of the file and other documents that are
948 forwarded to the dean. It may not seek additional information either from members of the unit or from
949 others. If it finds that the file contains insufficient information for it to make an informed judgment, or if
950 there are matters on which the committee would like clarification from the unit or the candidate, the
951 committee may return the file to the dean or chancellor with a request that the unit and candidate be asked
952 to provide the additional information required.

953 **16. Applicable all-University criteria and standards**

954 The review committee and the senior academic administrators must use the indices and standards for
955 tenure applicable to the unit and position involved. These are the criteria set forth in section 7.11 of
956 Faculty Tenure, the unit statement required under section 7.12, and in any special contract under section
957 3.6. Subject only to that limitation, the review committee should examine the merits of the decision, not
958 merely its procedural regularity.

959 The review committee must make a written recommendation to the dean or chancellor. If it differs from
960 the recommendation of the unit, it must state the reasons for such difference. A copy of the
961 recommendation must be supplied to the candidate. The recommendation becomes part of the candidate's
962 file.

963 **17. Requests for reconsideration or for more information**

964 Any senior academic administrator reviewing the unit recommendation may ask the unit to reconsider the
965 matter on the basis of his or her specific concerns expressed in writing. In such case, the tenured faculty
966 must meet again to discuss the question in light of the specific comments or questions. The procedures are
967 analogous to those for initial consideration by the unit. The vote is again by secret ballot. A supplemental
968 report is prepared and transmitted in the same manner as the original recommendation.

969 Before making a decision on review, the senior academic administrator, either on his or her own motion
970 or at the request of the review committee, may ask the unit or the candidate to provide additional
971 information. Providing such additional information does not require full unit consideration, but the
972 candidate should be informed of the request and given an opportunity to participate in the reply to it.

973 **18. Dean's recommendation**

974 The dean makes the recommendation for the college. (A dean or other reviewing officer may not
975 participate in circumstances in which the officer would be disqualified from participating in the initial
976 decision. See part 2(b) of these Procedures.) Copies of the recommendation must be sent to the unit head
977 and made available to the tenured members of the unit faculty, and to the candidate

978 Every case must be forwarded to the Senior Vice President for Academic Affairs and Provost for review
979 and appropriate action. The forwarded file must include (a) the unit recommendation, together with the
980 unit report and letters of recommendation upon which it relies; (b) the unit head's report; (c) the review
981 committee's report; (d) the report of the senior academic administrators who reviewed the unit
982 recommendation; and (e) any other information in the file requested by the Senior Vice President for
983 Academic Affairs and Provost. Other portions of the file, e.g., publications or teaching evaluations, must
984 be retained by the college or campus and forwarded if requested.

985 The dean must add to the file any communication that has been received concerning the candidate and
986 memoranda summarizing conversations he or she has had concerning the candidate that have been taken
987 into consideration in any way.

988 **F. Central review and action**

989 **19. Central review**

990 The Senior Vice President for Academic Affairs and Provost has the final authority to make
991 recommendations on tenure and promotion to the Board of Regents for all Twin Cities colleges and
992 coordinate campuses. (1) He or she receives recommendations from the deans who report directly to him
993 or her. (2) Chancellors of coordinate campuses forward their recommendations both to the Senior Vice
994 President for Academic Affairs and Provost for decision and to the Senior Vice President for System
995 Academic Administration for information. (3) In the Academic Health Center, after receiving the
996 recommendation of the dean, the Senior Vice President for the Health Sciences forwards his or her
997 recommendation to the Senior Vice President for Academic Affairs and Provost. Senior vice presidents
998 and chancellors may consult with other persons before making a decision, but each such consultation or
999 review shall be recorded in the candidate's file.

1000 If the Senior Vice President for Academic Affairs and Provost uses a committee to review one or more
1001 candidates, it is subject to restrictions and procedures parallel to those governing the collegiate review
1002 committees. If the Senior Vice President for Academic Affairs and Provost consults with individuals
1003 about a particular candidate's qualifications, the consultation must be recorded and included in the
1004 candidate's file.

1005 **20. Standards for review and action**

1006 The central reviews and action must be based upon the standards for tenure applicable to the unit and
1007 position involved. See part 16 of these procedures.

1008 **21. Action by the Senior Vice President for Academic Affairs and Provost; explanations to dean/**
1009 **chancellor and unit**

1010 The Senior Vice President for Academic Affairs and Provost takes action on the recommendation. If his
1011 or her action differs from the recommendation of the unit, he or she must send to the tenured faculty
1012 members of the unit and to the candidate a written statement of the substantive reasons for differing with
1013 the judgment of the tenured faculty of the unit (*Faculty Tenure*, section 7.63). That statement must be an
1014 evaluation of the candidate's substantive qualifications and include an explanation of the reasons for
1015 which the Senior Vice President for Academic Affairs and Provost believes it appropriate to substitute his
1016 or her judgment for that of the unit with regard to those qualifications. It may not be a mere recital of the
1017 evaluations in the file with a different conclusion. If the Senior Vice President for Academic Affairs and
1018 Provost's action differs from the recommendation of the dean or chancellor, a similar written statement
1019 must be sent to the dean or chancellor and to the candidate.

1020 The Senior Vice President for Academic Affairs and Provost presents his or her final recommendations to
1021 the Board of Regents for its decision whether to confer indefinite tenure and/or to approve promotion.

1022 **III. Promotion Procedures**

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1023 Procedures for considering promotions either to the rank of associate professor or to the rank of professor
1024 must parallel those for considering candidates for tenure, from the unit review through the central review.
1025 Faculty Tenure requires that promotion of a probationary appointee to the rank of associate professor or
1026 professor must be accompanied by an appointment with indefinite tenure. Since the standards for granting
1027 tenure are ordinarily as least as rigorous as those for promotion to associate professor, the granting of
1028 tenure to an assistant professor will ordinarily be accompanied by a promotion to associate professor.
1029 Promotion to the rank of professor may occur at any time after appointment as or promotion to the rank of
1030 associate professor.

1031
1032 Consideration for promotion to the rank of professor may occur whenever it is initiated by the unit head
1033 or by the professors in the unit. An associate professor may at any time request that a promotion review
1034 take place, but the professors in the unit will decide whether to conduct it. If an associate professor
1035 believes that a decision not to conduct a promotion review was made unfairly, he or she may raise his or
1036 her concerns with the unit head, the dean or chancellor, or the Senior Vice President for Academic Affairs
1037 and Provost.

1038
1039 Unit criteria for promotion to the rank of professor as written in the unit 7.12 statement must be consistent
1040 with those stated in section 9.2 of Faculty Tenure, Criteria for Promotion to Professor. Only tenured
1041 professors senior in rank to the candidate for promotion are eligible to vote on the promotion. Some units
1042 may have heads who are associate professors. These individuals are not eligible to vote in the cases of
1043 candidates for promotion to professor, but they are required to attend the promotion review meeting and
1044 to write a statement as the unit head as part of the promotion process. The unit report must be written by a
1045 professor who attended the meeting. The role of the unit head who is an associate professor is to listen to
1046 the discussion, to provide information, and to make a statement of his or her agreement or disagreement
1047 with the unit recommendation.

1048
1049 In the cases of small units with very few faculty members at the rank of professor, especially if an
1050 associate professor is the unit head, it may be appropriate to include, in the discussion and vote on
1051 promotion, a professor or professors from another unit or units in the college, campus, or University.
1052 Including additional faculty members is also warranted in cases of candidates whose work encompasses
1053 multiple disciplines. In order for faculty members from outside the unit to participate, the initiating unit
1054 and/or the dean or chancellor must submit a written request to and obtain authorization in writing
1055 by the Senior Vice President for Academic Affairs and Provost. The request must identify the faculty
1056 member under consideration, and give the name(s) and tenure homes of those faculty members who will
1057 be asked to vote on the candidate and the reasons for including them.

1058
1059 When an associate professor who is the head of a unit is being considered for promotion, a tenured full
1060 professor in the unit may act as the unit head for the purposes of considering that promotion. With the
1061 concurrence of the faculty in the unit, this role could alternatively be assumed by a tenured full professor
1062 from another unit who has been approved by the Senior Vice President for Academic Affairs and Provost
1063 (see paragraph above). The tenured full professor acting as unit head will write a letter summarizing his or
1064 her own evaluation of the candidate in lieu of the letter from the unit head that is ordinarily part of a
1065 promotion dossier.

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1066 The Senior Vice President for Academic Affairs and Provost presents his or her final recommendations to
1067 the Board of Regents for its approval or disapproval of promotion.

22. FACULTY CONSULTATIVE COMMITTEE
Copyright Policy
Discussion by the Faculty Senate
(30 minutes)

COPYRIGHTS

SECTION I. SCOPE

This policy applies to works created by faculty; post-doctoral fellows, researchers and scholars; students and other employees of the University of Minnesota (University).

SECTION II. DEFINITIONS.

Subd. 1. Copyright Protection. Copyright protection subsists in original works of authorship fixed in a tangible medium of expression as defined by United States copyright law.

Subd. 2. Work. "Work" shall mean a work protected under United States copyright laws.

Subd. 3. Academic Work. "Academic work" shall mean a scholarly, pedagogical, or creative work, such as an article, book, textbook, novel, work of visual art, dramatic work, musical composition, course syllabus, test, or class notes.

Subd. 4. Faculty. "Faculty" shall mean members of the faculty as defined by Board of Regents Policy: *Employee Group Definitions*, along with individuals who are not so defined but who are University employees holding faculty-like appointments (*viz.*, University employees who teach or conduct research at the University with a level of responsibility and self-direction similar to that exercised and enjoyed by faculty in a similar activity). Post-doctoral fellows, researchers and scholars shall have the same rights as faculty under this policy.

Subd. 5. Student. "Student" shall mean a registered student at the University, including undergraduate and graduate students.

Subd. 6. Directed Work. "Directed work" shall mean a work agreed upon between the University and faculty creator(s), the creation of which is based on a specific request by the University and which requires substantial University resources.

SECTION III. GUIDING PRINCIPLES

Subd. 1. The University's mission articulates a commitment to "sharing knowledge through education for a diverse community; and application of that knowledge to benefit the people of the state, the nation, and the world."¹ In this spirit, the University encourages faculty and students to exercise their interests in ownership and use of their copyrighted works in a manner that ensures the greatest possible scholarly and public access to their work.

Subd. 2. The University shall maintain the strong academic tradition that vests copyright ownership in works of scholarship in the faculty.

Subd. 3. The University recognizes the importance of intellectual freedom and autonomy in the creation, use, and dissemination of scholarly works.

¹ See Mission Statement adopted by the University of Minnesota Board of Regents January 14, 1994 available at http://www1.umn.edu/regents/policies/boardoperations/Mission_Statement.pdf.

Subd. 4. The University is committed to promoting a culture in which access, exchange, and lawful use of materials is regarded as fundamental to both the process and goals of scholarly inquiry.

SECTION IV. COPYRIGHT OWNERSHIP.

Subd. 1. Ownership of Academic Works. In accordance with academic tradition, University faculty and students shall own the copyrights in the academic works they create, except for academic works described below in Section IV, subd. 2(b)-(e), or unless otherwise provided in a written agreement between the creator(s) and the University.

Subd. 2. University Ownership. The University shall own the copyrights in the following works created by University faculty, students or other employees acting individually or jointly with others:

- (a) works created by University employees acting within the scope of their employment, except for academic works created and owned by faculty and students under this policy;
- (b) directed works;
- (c) works specially ordered or commissioned by the University and for which the University has agreed, in writing, to specially compensate or provide other support to the creator;
- (d) works created in connection with the administration of the University; and
- (e) works created pursuant to a contract with an outside sponsor that provides the University ownership of the copyrights.

Subd. 3. Written Acknowledgements. The University and University faculty, students and other employees shall execute necessary or desirable written instruments or agreements to evidence and protect ownership of copyrights and copyright licenses in accordance with this policy.

Subd. 4. Ownership under Sponsored and other Outside Funded Agreements. The ownership of copyrights in works created under an agreement with an outside sponsor shall be determined in accordance with its terms and applicable law.

Subd. 5. Works Created by Independent Contractors. Copyright ownership in works created by independent contractors shall be determined in accordance with applicable law and the contract between the University and the independent contractor. In most instances, the University shall enter into appropriate written contracts with independent contractors before services are provided to the University that may result in the creation of copyrighted works.

SECTION V. EXCLUSIONS.

Nothing in this policy shall be construed to preclude the University and faculty and students from entering into written agreements governing the use, licensing, or sharing of licensing revenues with each other with respect to works, whether such works are owned by the University, the faculty, or students under this policy.

SECTION VI. IMPLEMENTATION.

The president or delegate shall administer this policy and maintain appropriate policies and procedures to implement it.

**GARY BALAS, CHAIR
FACULTY CONSULTATIVE COMMITTEE**