



# Hubert H. Humphrey Institute of Public Affairs

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UNIVERSITY OF MINNESOTA

TO: Tenure-track Probationary Faculty:  
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Jason Cao  
Greta Friedemann-Sanchez  
Jennifer Kuzma  
Jodi Sandfort  
Carissa Schively Slotterback  
Elizabeth Wilson  
Jerry Zhao

CC: Promotion and Tenure Committee:  
Michael Barnett, Chair  
Ed Goetz  
Morris Kleiner

Faculty Merit Review Committee:  
Larry Jacobs, Chair  
Nancy Eustis  
Judy Temple

J. Brian Atwood  
John Adams  
John Bryson

Tenure Track Faculty Mentors

FROM: Wendy Lane. Human Resources Director

DATE: January 14, 2008

SUBJECT: Promotion and Tenure Process and Timeline 2007-08

We are reviewing the performance of tenure-track probationary faculty as outlined in the University governing documents, as well as the Humphrey Institute's established guidelines and procedures. The deadline for submission of the President's Form 12 for probationary faculty being continued in rank is **April 15, 2008**.

"Beginning in fall 2007, the annual appraisals of probationary faculty will be conducted using the new 2007 "Procedures for Evaluating Candidates for Tenure and/or Promotion: Tenured and Tenure Track Faculty."

(<http://www.academic.umn.edu/provost/faculty/pdf/procedures101207.pdf>). Guidelines for the overall review are found in Sections 4 through 10 of the 2007 "Procedures". Documentation (specified in Section 6) should include explicit Chancellors, Vice Presidents, and Deans evaluations of the candidate's teaching performance, scholarly productivity, and service activities. Other relevant factors may be mentioned. The review **must** be conducted in the context of the 7.12 Statement that is being used to evaluate the candidate. Section 12 of the "Procedures" provides information about preparation of the candidate's file as a basis for the decision on indefinite tenure." (October 3, 2007 memo from E. Thomas Sullivan to Deans).

For 2007-08 appraisals, the Institute will use the 7.12 Statement adopted in 1986 and amended December 13, 2006, until the new 7.12 statement is approved by the Provost's office ([https://intranet.hhh.umn.edu/policies/section7\\_12.html](https://intranet.hhh.umn.edu/policies/section7_12.html)).

Probationary faculty should reference the University's *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty (2007)* (<http://www.academic.umn.edu/provost/faculty/pdf/procedures101207.pdf>); the *President's Form 12* (<http://www.fpd.finop.umn.edu/groups/hr/documents/Form/PRES12.pdf>); and the Humphrey Institute's *Procedures for Reviewing Tenure-Track Probationary Faculty (2004)* ([https://intranet.hhh.umn.edu/policies/probationary\\_faculty.html](https://intranet.hhh.umn.edu/policies/probationary_faculty.html)).

Links to these documents are found on the Humphrey Institute's human resources intranet website under:  
[https://intranet.hhh.umn.edu/hr/performance\\_process/tenuretrack\\_faculty/index.html](https://intranet.hhh.umn.edu/hr/performance_process/tenuretrack_faculty/index.html).

The essential elements of the process include information gathering, deliberation and consultation with the candidate. The procedure is as follows:

1. The probationary candidate's annual merit review file is used to assess the faculty member's performance on all relevant criteria (teaching, research, outreach, and any other relevant factors). The **Annual Report of Professional Activities for calendar year 2007** (using the online process), and attachments for P and T dossier are due to the Merit Review Committee, care of Human Resources in the Humphrey Institute, no later than 12 noon on January 31, 2008.

2. Probationary candidates should review the annual report of professional activities and other dossier materials with their faculty mentors before submitting these materials to the merit review and promotion and tenure committees.
3. A review is conducted by the Promotion and Tenure Committee (P&T) in conjunction with the Faculty Merit Review Committee. The P&T Committee reviews the candidate's written work, taking into account the cumulative record of each candidate, using previous years' merit review reports, as appropriate, and prepares a statement reflecting their assessment. The P&T Committee meets with the Merit Review Committee Chair following that committee's review of the candidate to draw up a substantive statement of evaluation and feedback to the candidate. [It is during the probationary candidate's fourth year of review that a more intensive assessment of teaching, research, and service is done with the aid of a Reading Committee.]
4. Before bringing the assessment to the tenured faculty for discussion and forwarding the report to the Dean, the P and T Committee members and the Chair of the Merit Review Committee will meet with the candidate, relay the strengths and weaknesses as articulated in the assessment and ask the candidate for his or her views and any additional information. Candidates may, if they wish, draft and write a response to the assessment.
5. Candidates are entitled to three mentors. If the candidate so chooses, he or she may request one mentor to accompany him/her to meetings with the P&T Committee and the Dean/Associate Dean to ensure that the candidate's rights and best interests are respected in the process, and to help the candidate interpret the feedback. A list of assigned faculty mentors is found on the human resources intranet website:  
[https://intranet.hhh.umn.edu/hr/performance\\_process/tenuretrack\\_faculty/index.html](https://intranet.hhh.umn.edu/hr/performance_process/tenuretrack_faculty/index.html).
6. Following the meeting with the candidate, the P&T Committee will present its written assessment to the tenured faculty. Amendments may be suggested by faculty members. The assessment will be voted on for approval and will be forwarded to the Dean and candidate as a statement coming from the tenured faculty as a whole.
7. The candidate's annual files will be made available to the tenured faculty of the Institute, who must review the progress of each probationary candidate annually as provided to them by the Institute's Promotion and Tenure Committee.
8. The Dean must discuss with the candidate annually his/her progress toward achieving tenure. The Dean will review both the Merit Review Committee's assessment and the faculty-approved Promotion and Tenure Committee assessment. The Dean also reports the sense of the meeting of the tenured faculty, and any recommendations made by it, to the candidate. The candidate is given a

- copy of the annual Appraisal of Probationary Faculty (PF12) report, which includes the major elements of the conversation, as well as a written summary of additional matters, as appropriate. The summary includes the date and time of the meeting.
9. The candidate may write a letter responding to the assessment; such a letter would become a part of his or her file.
  10. Fully signed and completed Appraisals of Probationary Faculty (PF12s), along with the probationary candidate's dossier, must be submitted to the Office of Human Resources (Karen Linquist) and the Office of Senior Vice President and Provost, E. Thomas Sullivan, not later than April 15, 2008. Cherrene Horazuk, Aide to the Dean, will submit these materials for the Institute.

### **P&T Dossier**

The language below comes from the *University of Minnesota Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenure Faculty* (2007, section 6, page 10). The probationary faculty member's P&T dossier should be updated annually with the following materials.

1. Current curriculum vitae (an electronic copy of the CV will be attached to the online report and then printed out);
2. Annual Report of Professional Activities\* (AROPA) (file online and then print out).

Be sure to include enough information in the following summaries in AROPA for the committee to evaluate your activities:

3. Summaries of teaching assignments, including student and peer evaluations (using methods of evaluation adopted by the Humphrey Institute), and all course syllabi. See *Faculty Tenure* (2007), footnote 4 for the definition of teaching;
4. Summaries, copies, or references to research or other scholarly activities and/or appropriate representations of other creative work. See *Faculty Tenure* (2007), footnote 4, for the definition of scholarly research and other creative work. Please include copies of books or articles published since the previous year's review;
5. Summaries of discipline-related service activities. See *Faculty Tenure* (2007), footnote 4, for the definition of service;
6. Summaries of supplementary criteria; i.e., participation in the governance of the University or the Humphrey Institute.

### **The following items are in addition to what is submitted online for the Annual Report of Activities:**

7. **Copies of Appraisals of Probationary Faculty (PF12s)** for the current and previous years, as applicable (note: these copies are already in your files);
8. **Other relevant materials** related to the requirements for tenure; and

9. **Evaluations of the candidate's teaching, research or scholarly contributions by persons inside and outside the University**, as appropriate. (Note: external reviews are not required for probationary candidates in first, second or third years of their appointments at the Humphrey Institute).

\*See the Humphrey Institute's *Policy and Procedures on Annual Merit Review Performance Evaluations for Ranked Professors (2007)* for instructions on completing the online AROPA report.

**Adopted 4-15-04**

**Procedures for Reviewing the Performance of  
Tenure-Track Probationary Faculty**

**Humphrey Institute of Public Affairs**

In accordance with sections 7.4, 7.61, and 16.3 of the Faculty Tenure Regulations (June 1997), the Humphrey Institute of Public Affairs adopts the following Procedures for Reviewing Tenure-Track Probationary Faculty.

The Institute's 7.12 and the Goals and Expectations statements lay out the indices and standards that will be used to evaluate candidates – including probationary faculty. The Institute faculty is committed to developing the full potential of each junior faculty member. These procedures are designed to make this process transparent and equitable, emphasize our common purpose as a community, enhance the collegial environment and provide for the passing on of collective norms.

**Beginning of Probationary Appointment**

Within the first four months of the probationary appointment, the Dean or Associate Dean must review the terms of the appointment with the probationary candidate. This includes:

1. Making certain that credit or prior service has been granted and properly recorded, and that there's an understanding of the maximum length of the probationary period
2. Providing the candidate a copy of the Humphrey Institute 7.12 Tenure and Promotion Statement and the Institute's Goals and Expectations for Faculty.
3. Inform the candidate about the procedures used to review teaching, research and service at the Institute. Review with the candidate the annual review process and the annual report on Appraisals of Probationary Faculty (President's Form 12) that is completed during the probationary phase. Candidates are also informed of their right to inspect their file and the right of access to information.
4. Appoint and inform the candidate of the mentor(s) appointed to work with him or her on an ongoing basis (see below). The Dean, in appointing mentors, will consult with the search committee involved in the hiring. All members of the tenured faculty are expected to act as mentors of the candidate.
5. The Dean or Associate Dean must make a written summary of the meeting, including the time and date the meeting took place. The summary is included in the candidate's personnel record.

### **Annually During the Probationary Period**

The process of reviewing a candidate's progress is ongoing. The essential elements to this process include: information gathering, deliberation, and consultation with the candidate. At a minimum:

6. Beginning with the first year of the probationary period, the Institute has the responsibility for gathering data about the candidate's performance on all relevant criteria. The candidate's annual merit review file is used for this purpose.
7. The review is conducted by the Institute's P&T Committee in conjunction with the Faculty Merit Review Committee. The Humphrey Institute's Promotion and Tenure Committee, with input from the Faculty Merit Advisory Committee, will review the contents of the file, take into account the cumulative record using previous years' merit review reports, and prepare a statement reflecting their assessment. The P&T Committee members will read the candidate's written work in addition to reviewing the merit review file. The P&T Committee will meet with the Merit Review Committee Chair following that committee's review of the candidate to draw up a substantive statement of evaluation and feedback to the candidate. Before bringing the assessment to the tenured faculty for discussion and forwarding to the Dean, the P&T Committee members and the Chair of the merit review committee will meet with the candidate, relay the strengths and weaknesses as articulated in the assessment and ask the candidate for his or her views and any additional information. Candidates may if they wish draft and write a response to the assessment. Following the meeting with the candidate, the P&T Committee will present its written assessment to the tenured faculty. Amendments may be suggested by faculty members. The assessment will be voted on for approval and will be forwarded to the Dean and candidate as a statement coming from the tenured faculty as a whole. The Dean will meet with the candidate and review both the Merit Review committee's assessment and the faculty-approved Promotion and Tenure Committee assessment.
8. Candidates will be entitled to three mentors. In addition to the mentor appointed by the Dean in the candidate's first term, the candidate will work with Promotion and Tenure Committee members to identify two additional mentors by the beginning of the second semester of service. The Dean will then request the identified mentors to serve. Ordinarily, the mentors will include at least one Institute faculty member from a degree program that is not the candidate's main teaching domain. It is also possible to ask for a mentor in another college at the University. Tenured faculty members appointed to serve as the candidate's mentors will help the candidate develop a strategy for achieving superior annual merit reviews and promotion to tenure. If the candidate so wishes, he or she may request one mentor to accompany him/her to meetings with the P&T Committee and the Dean/Associate Dean to ensure that the candidate's rights and best interests are respected in the process and

to help the candidate interpret clearly the feedback. At the initiative of either the candidate or the tenured faculty members involved, a mentor may be changed at any time, and new faculty members appointed in her/his place. The role of mentor is not expected to be time consuming but to entail at minimum a lunch or conversation with the candidate once every other month. Mentors should see their role as engaging in an ongoing mentoring relationship with the candidate rather than as a formality.

9. During the probationary candidate's fourth year, the Dean will assign three tenured faculty, one from outside the Institute but elsewhere in the University, to a Reading Committee covering the cumulative work of the candidate. In this year, the members of the P&T Committee will conduct a more intensive assessment of teaching, including classroom visitation. The members of the Reading Committee will have substantive knowledge of the candidate's areas of interest and discipline. The Reading Committee is responsible for reviewing the candidate's publications and providing advice on the content and substance. The Reading Committee will be appointed by the beginning of spring semester and will convene and do their work in conjunction with the annual merit and P&T Committee reviews, and add their input into the annual assessment. One member of the Reading Committee will join the annual meeting between the P&T Committee and the candidate. This will constitute the fourth year review.
10. The candidate's annual files will be made available to the tenured faculty of the Institute who must review the progress of each probationary candidate annually as provided to them by the Institute's Promotion and Tenure Committee. The annual review does not require a formal ballot or recommendation of the faculty but the Institute may choose to take a ballot if desired.
11. The Dean must discuss with the candidate annually his/her progress toward achieving tenure. The Dean also reports the sense of the meeting of the tenured faculty, and any recommendations made by it, to the candidate. The candidate is given a copy of the annual Appraisal of Probationary Faculty (PF12) report, which parallels the major elements of the conversation, as well as a written summary of additional matters, as appropriate. The summary includes the date and time of the meeting.
12. The candidate may write a letter responding to the assessment, and the letter would become a part of his or her file.
13. Fully signed and completed Appraisals of Probationary Faculty (PF12s), along with the probationary candidate's dossier, must be submitted to the Office of Human Resources (Karen Linquist) and the Office of Vice President and Executive Vice Provost, Robert Jones, not later than March 31, 2004 [date set Centrally each year].

### **Formal Consideration for Tenure or Termination of Appointment**

A tenure decision may be made in any year of the probationary period. It is not necessary to wait until the end of the probationary period, either to recommend tenure or to recommend termination of an appointment. A candidate must be considered in a formal tenure review in the last year of the probationary period; i.e., the sixth year of an ordinary probationary period or a designated time in a shorter probationary period. A formal review must also take place at the times required by a special contract. The candidate may also request an early tenure review, but the Institute has the authority to decide whether to conduct it.

**Hubert H. Humphrey Institute of Public Affairs  
Policy and Procedures on Annual Merit Review Performance Evaluations for  
Ranked Professors**

Adopted February 28, 1985; updated by tenured, tenure-track and term faculty December 3, 2007; updated by tenured and term faculty May 7, 2008

**ANNUAL MERIT REVIEW PERFORMANCE EVALUATIONS**

“The objective of the evaluation and merit award process is to encourage excellence in teaching, research, and service, including the generation of knowledge through research and professional writing, to the transmission of knowledge through teaching, and to service to the Institute, University, professional organizations and the larger public.” (7.12, 2006)

“All members of the Humphrey Institute tenure-track faculty are expected to engage in research, to make periodic published contributions to scholarship, to fulfill obligations as teachers, and to share in the service necessary for successful functioning of the Institute and University. All tenured faculty are expected to devote a portion of their time to all three kinds of activity. Members of the faculty are encouraged to serve in professional associations, in policy advising, and in public service appropriate to their academic expertise beyond the direct demands of University employment.” (Goals and Expectations, 2004)

Each ranked professor at the Humphrey Institute shall be evaluated annually as a basis for making salary adjustments based on merit and as a foundation for improvement of performance. This policy establishes the procedures to be used in the evaluation of performance and the guidelines to be used in making evaluations. Annual evaluations shall be part of, but not the sole factor in, reviewing tenure and promotion decisions. University-wide and Regent policies and procedures govern annual merit review processes. The Humphrey Institute annual merit review process is designed to be consistent with those policies and procedures.

**GOVERNING POLICIES FOR MERIT REVIEW**

This merit review process is governed by the guidelines of the faculty Senate’s 1998 Rules and Procedures for Annual and Special Post-Tenure Review (<http://www1.umn.edu/usenate/fsen/guidelines.html>); and section 7a.2.of the Regents 2007 Policy on Faculty Tenure (<http://www1.umn.edu/regents/policies/humanresources/FacultyTenure.pdf>). For updates to any of these documents, visit the Provost’s Office website: <http://www.academic.umn.edu/provost/faculty/promotion.html>.

Humphrey Institute faculty performance is evaluated using standards stated in the Humphrey Institute’s 2004 Goals and Expectations Statement ([https://intranet.hhh.umn.edu/policies/posttenure\\_review\\_statement.html](https://intranet.hhh.umn.edu/policies/posttenure_review_statement.html)); the 2006 7.12 policy governing tenure

([https://intranet.hhh.umn.edu/hr/performance\\_process/reguar\\_term\\_faculty/7\\_12\\_statement.pdf](https://intranet.hhh.umn.edu/hr/performance_process/reguar_term_faculty/7_12_statement.pdf)). The work of the merit review committee is defined in the 2004 Constitution and bylaws ([https://intranet.hhh.umn.edu/strategic\\_planning/framework/constitution\\_bylaws.pdf](https://intranet.hhh.umn.edu/strategic_planning/framework/constitution_bylaws.pdf)).

Probationary faculty should also reference the University's Procedures for Reviewing the Performance of Tenure Track Probationary Faculty (<http://www1.umn.edu/ohr/policies/performance/probfacreview.html>); and President's Form 12 (<http://www.fpd.finop.umn.edu/groups/hr/documents/Form/PRES12.pdf>).

Additional information relevant to the promotion and tenure and annual merit review process for tenure-track probationary faculty can be found in the Humphrey Institute's 2004 Procedures for Reviewing Tenure-Track Probationary Faculty ([https://intranet.hhh.umn.edu/policies/probationary\\_faculty.html](https://intranet.hhh.umn.edu/policies/probationary_faculty.html)).

Links to these documents are found on the Humphrey Institute's human resources intranet website under:  
[https://intranet.hhh.umn.edu/hr/performance\\_process/reguar\\_term\\_faculty/index.html](https://intranet.hhh.umn.edu/hr/performance_process/reguar_term_faculty/index.html).

**ELECTRONIC ANNUAL REPORT OF PROFESSIONAL ACTIVITIES (AROPA)**  
In January of each year, each member of the faculty shall prepare an on-line electronic Annual Report of Professional Activity (AROPA) containing information on the activities of the member for the prior calendar year. Each member of the faculty, including all who are tenured, tenure-track probationary, and those who have term appointments (contract, visiting, temporary) must complete an AROPA.

The purpose of the activity report is to document your past year's activity, discuss future plans, and report work accomplishments that, in turn, provide a basis for performance review and normally, merit salary increases. Failure to submit a timely AROPA will result in no merit increase, and a rating of "needs improvement," for research, teaching and service.

The following guide has been developed as a tool to assist you in the preparation of your activity report. The work areas mentioned may or may not apply to your job at the Institute. If there is an area that is not applicable to you, or for which you had no activity in that calendar year, indicate "does not apply" or "no activity". Likewise, if there is an area of your work not covered in the guide, please make sure to include it in your activity report. Remember, however, that the purpose of the exercise is to compare, as well as evaluate, and we need to have information presented in consistent formats if we are to compare.

As faculty members, you should submit to the merit review committee, care of Human Resources in the Humphrey Institute, a printed hard copy of the following:

- **Annual Report of Professional Activities**
- Updated **curriculum vitae** (an electronic copy of the CV will also be attached to the online report);
- **Teaching evaluations**, including the Humphrey Institute summary forms of student comments you received from the Graduate Programs Office, as well as the actual printout from Office of Measurement Services, including evaluations from courses taught in other units. Do not reformat the data;
- **All course syllabi**;
- **Publications** (copies of articles, book chapters, etc., that are published in the year being evaluated ; and
- **Other materials** that you believe would be helpful to the review process.

Begin by entering your activities online at <https://www2.hhh.umn.edu/aropa/>. A quick start guide to updating your AROPA report is found on the intranet: <https://www2.hhh.umn.edu/aropa/docs/userguide/quick-start.html>. If you have forgotten your previously assigned password or are filling out the report for the first time, contact the Humphrey Institute's Information Technology staff for assistance at: [COMPSTAFF@umn.edu](mailto:COMPSTAFF@umn.edu), or (612) 626-9235.

The report shall be divided into the sections as indicated below. Instructions for completing each section are discussed below along with the relevant excerpts from our 7.12 statement (2006) and our Goals and Expectations (2004):

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**FORMAT:**

Name, Job Title

Report Date

**1. INTRODUCTION**

*Individual professors may have different assignments and may have contracted to allocate their time in ways that differ from the average distribution. Consequently, evaluation must be made of each person based on the assigned work. Also, the kind and distribution of work of senior professors will differ from that of junior professors. Service responsibilities of senior professors are likely to be greater than those of their junior colleagues.*

*The introductory section of the report should summarize your job responsibilities and related tasks, including the allocation of time to major reporting categories during the report year. Where a contract specifies activities or objectives, the provisions of the contract should be summarized or quoted. Indicate the nature of your appointment, including any time on leave, course buyouts and other agreements regarding research, teaching or service, as well as details of a joint appointment. Do not rely on the Committee to have this information from other sources.*

## 2. RESEARCH AND RELATED SCHOLARLY ACTIVITY

“The research criterion is significant published research and evidence of promise for future publication. Interdisciplinary work will be looked upon with particular favor. A candidate’s research must be judged as high quality by external evaluators and must include articles in refereed journals, books or chapters of books published by a reputable press. No explicit quantity of publications is specified; the emphasis is on the quality of work accomplished and on evidence of a continuing program of research and scholarship on important public affairs topics and on potential for further scholarly accomplishment. In addition it is expected that tenured professors attain national or international scholarly reputation on the basis of significant publications and other important contributions to the individual’s area of specialization. (7.12, 2006)

### a. Publications and unpublished works in progress

*(Please note both published and unpublished works. When listing published works, please include only those published during the reporting calendar year. In relation to unpublished works, please describe the progress made in the reporting year and date submitted or accepted for publication, if applicable. If an item has been reported in a previous year’s activity report, indicate how many years it has been reported and the progress made in the reporting year.) As a policy matter, the faculty count publications in the year in which they actually appear. Please identify which journals are peer reviewed.*

1. Books
2. Chapters of books
3. Articles in refereed journals
4. Articles in practice-oriented publications
5. Articles in major public affairs journals
6. Reviews
7. Major interim research products or documents
8. Papers and formal lectures delivered at professional meetings
9. Op Ed articles
10. Reports or documents that are part of an official record (e.g. court or legislative hearing)
11. Other

### b. Scholarly Presentations

### c. Other Conference Participation

### d. Other Research

*A single copy of each publication appearing in the calendar year being evaluated should be attached to the hard copy of the report. In addition, this section should contain a summary of work in progress, with a brief description of its objective and significance.*

## 3. INSTRUCTION

“Effectiveness in teaching will be assessed through consideration of course materials (syllabi, reading lists, student projects, course web sites, study guides, examinations, etc.), the development of new and innovative courses, formal class evaluations by

students, verbal student feedback, observations of lectures attended by other faculty members, analysis of the record of course registration, and papers, theses, and dissertations of students performed under the candidate's guidance. For tenured professors, a reputation for truly distinguished teaching, as indicated by superior performance over several years measured by the factors listed under the criteria for awarding indefinite tenure." (7.12, 2006)

- a. For-credit classroom teaching\*
- b. Independent study supervision
- c. Other Institute and University instruction (extension courses; leadership program courses or course sessions; participation in courses taught by others or team taught)
- d. New courses developed
- e. Course updates: improvements made to existing courses
- f. Educational development
- g. Graduate student advising (list names, progress, and status achieved by each of your advisees: Graduated; Nearing Completion; Progressing Normally; Unknown)
- h. Undergraduate Advising
- i. Professional papers and Master's and Ph.D. Theses in progress or completed
  - i. List each student whose professional paper, or Plan B, you supervised as well as identify separately other students on whose committees you served.

*\*Indicate the number of students enrolled in each course taught, whether the course is co-taught, and any pertinent commentary on each course, such as its general or special contribution to the curriculum or program within which it is offered. You should include the requested teaching evaluation scores; also attach a summary of student evaluations of teaching (both Humphrey and University formats), and other evidence of teaching effectiveness. Include both PA courses and those taught in other University units.*

#### 4. SERVICE

Institute faculty are expected to engage in a mix of Institute, University, professional and public service activities, and to be able to demonstrate significant achievements in one or more of these, including honors and awards for service. Some trade-offs among several of these are possible and shall be negotiated in advance with the Dean and Associate Deans.

“Public service, professional service, Institute service and University service contributions should be demonstrated. Service should be evaluated in terms of qualitative contribution rather than amount of time devoted to each activity. For tenured professors, outstanding service contributions in one or more of the service categories is required for tenure – Institute and University service, professional service and public service. Institute service shall include mentoring of assistant and associate professors.” (From 7.12, 2006)

**Public Service** includes service to public sector, non-profit and international organizations and outreach to public audiences that may take any of the following documented forms:

- Holding of public office
- Services as advisors or consultants – paid or pro bono – to public, non-profit and private sector organizations, including, but not limited to serving on boards, advice and help in fashioning strategy, drafting of public reports, providing intellectual frameworks or bodies of evidence in support of policy initiatives (paid consulting activities should be so noted)
- Invited testimony before public bodies or commissions
- Public speaking engagements
- Articles in public affairs journals, public interest and community group newsletters, or other print media
- Radio and television appearances
- Opinion editorial pieces in newspapers or magazines
- Press coverage of faculty member’s activities (From 7.12, 2006)

**“Professional service** involves leadership roles in professional associations; service on commissions or committees set up by professional organizations; journal editor or editorial board roles; and service as formal reviewers of journal articles, research proposals for foundations and candidates for honorary titles (e.g. election to National Academies) and promotion and tenure at other Universities; articles in professional newsletters and magazines.” ( 7.12, 2006)

**“Institute and University service** includes membership on committees and leadership roles therein; initiatives that strengthen the Institute’s or University’s mission; and good citizenship service in Institute affairs (e.g. student and faculty recruitment efforts, attendance at faculty meetings)” (7.12, 2006)

- a. Public engagement and community service activity
- b. Outreach presentations
- c. Media appearances
- d. Legislative testimony
- e. Institute service and administration activity
- f. University service activity\*
- g. Journal service
- h. Service to profession
- i. Other service of a professional nature

*In this section please include talks that you gave which you consider public service. Research papers you presented at scholarly meetings are reported in the Research section above.*

*\* If you have a joint appointment, please include any service in other UMN units under “university service”*

## V. GRANTS, CONTRACTS AND FELLOWSHIPS

- a. Status: Applied for, pending, awarded, and/or completed during last calendar year
- b. Specify your role in conducting the work: Principal Investigator; Co-PI, Project Director, or another role.
- c. Indicate the purpose of the funding (e.g., research, curriculum development, operational or programmatic support for an Area or Center), and describe how it furthers the mission of the Humphrey Institute and/or your Area.

## VI. HONORS AND/OR AWARDS

Order on activity report

- a. Scholarship Awards
- b. Teaching Awards
- c. Service Awards

## VII. CLOSING COMMENTS

*In conclusion, estimate the public policy or planning impact in your area of research and publications, teaching, and service for the last year, and provide evidence of this impact.*

*Please upload as an attachment an electronic version of your updated curriculum vitae.*

## EVALUATION RATING SCORES

The committee will evaluate the annual performance of each member of the faculty in teaching, research, and service, by assigning a number rating of their performance for that year on a five point scale (5,4,3,2,1) for each of the three areas, with 5 being the highest. The weighting of each area of assessment will be teaching 30%, research 40% and service 30%. A written summary of the reasons for the ranking shall be made.

Guidelines for rating levels are as follows:

- 5 (far above average)
- 3 (average)
- 1 (far below average)

Merit increments will normally be calculated as a percentage of base pay, after adjustments for equity, changes in responsibility or assignment, cost of living, or comparability with other schools. Persons receiving an evaluation of far above average, shall receive a greater merit award than those receiving a rating of average to the extent that resources allow.

## FACULTY MERIT REVIEW COMMITTEE ELECTION AND DUTIES

The Faculty Merit Review Committee consists of three tenured members of the Faculty, elected by the voting members of the Faculty. (2004 bylaws)

The Faculty Merit Review Committee is advisory to the Dean or principal administrator designated by the Dean. The Faculty Merit Review Committee shall be responsible for reviewing the annual activity reports submitted by all other Faculty and shall submit an annual report and summary of ratings to the Dean, in accordance with merit review guidelines at the Institute and the University and the University's Compensation Policy. (2004 bylaws)

Members of the committee shall not participate in the discussion of their own work, nor the report on it. Two of the three members of the committee shall review and report on the other member. (2004 bylaws)

The Promotion and Tenure Committee is encouraged to consult (as it deems necessary and appropriate) with the Faculty Merit Review Committee on the review of the probationary faculty for promotion and tenure, but the annual merit review process is separate from the promotion and tenure process.

#### THE ROLE OF THE DEAN

The Dean has responsibility for allocating funds available for salary adjustment, consistent with any instructions from the central administration of the University, for merit award, cost of living increases, equity, and comparability with other university public affairs programs.

Upon receiving the report of the committee, the Dean shall discuss the evaluations with regard to merit and his recommendations with respect to salary with each member of the faculty.

The member shall have an opportunity to dispute any evaluation or comment in the evaluation, and in the event of a disagreement between the Dean's final evaluation and the member, the member may enter a comment on the evaluation into the permanent file. In accordance with the Constitution of the Institute, the Dean shall then make recommendations on salary adjustments to the Vice President for Academic Affairs.

#### OTHER

##### 1. Joint Appointments

In the case of faculty who have joint appointments, the Merit Review committee will take into account teaching and service for the unit in which the joint appointment is held. In addition, the individual with the joint appointment is responsible for obtaining a letter from the relevant head of the other unit to the Institute dean regarding that individual's performance for the calendar year being evaluated.

##### 2. Availability of AROPA Reports

All on-line Annual Reports of Professional Activities will be available for other faculty members to read.

**HHH Institute of Public Affairs  
Statement Required by Section 7.12 of Regents Policy on  
Faculty Tenure and Promotion**

Revisions approved by HHH Institute Faculty, 5 December 2007;  
expiration date, December 13, 2016.

Approved by the Senior Vice President for Academic Affairs and Provost, March XX, 2008

**I. Introductory Statement**

This document describes with more specificity the indices and standards that will be used to evaluate whether candidates meet the general criteria in Section 7.12 of the Regents Policy on *Faculty Tenure*. For a complete perspective, the reader is advised to review Sections 7 and 9 in their entirety as well as the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track or Tenured Faculty*.

**II. Institute Mission Statement**

**(adopted by the HHH Institute Graduate Faculty and Executive Council in January and February 2006)**

The Hubert H. Humphrey Institute of Public Affairs inspires, educates, and supports innovative leaders to advance the common good in a diverse world.

The Institute pursues its mission by using its resources and those of the University to integrate:

- Preparation of students for leadership in public affairs;
- The bridging of disciplines across the University and larger community to advance public affairs scholarship; and
- Public engagement and scholarship to address important issues and to solve problems facing Minnesota, the nation, and the world in a non-partisan setting.

**Goals and expectations for faculty members**

All members of the Humphrey Institute tenure-track faculty are expected to engage in research, to make published contributions to scholarship, to fulfill obligations as teachers, and to share in the service necessary for the successful functioning of the Institute and University.

All tenured faculty members are expected to devote a portion of their time to all three kinds of activity. Members of the faculty are encouraged to serve in professional associations, in policy advising, and in public service appropriate to their academic expertise beyond the direct demands of University employment.

### **III. Criteria for Tenure**

The faculty of the Institute is committed to the generation of knowledge through research and professional writing, to the transmission of knowledge through teaching, and to service to the Institute, University, and professional organizations, and outreach to the wider public.

#### **A. Distinction in Research**

For the granting of tenure, the research criterion is significant published research of a disciplinary or interdisciplinary nature, and evidence of promise for future publication. A candidate's research must be judged as high quality by external evaluators, and must include articles in refereed journals, and/or refereed books or chapters of books published by reputable presses, but each publication must be judged on its own merit.

**Criteria used in evaluating research and publications take different forms** (*Performance Evaluation Process for Ranked Professors and Senior Fellows, Adopted by the Institute Council, February 22, 1985*):

- work that offers original or fresh insight into a policy or professional problem;
- empirical work relevant to policy and/or useful to professional practitioners and the public;
- work that provides new or more fully elaborated theoretical understanding of policy or disciplinary questions;
- work that demonstrates such intellectual rigor in analysis and organization, that it stands as unique and valuable;
- work that makes effective use of non-print media.

No explicit quantity of publication is specified; the emphasis is on the quality of work accomplished, and on evidence of a continuing program of research and scholarly publication on important public affairs topics, and of potential for further scholarly accomplishment.

#### **B. Effectiveness in Teaching**

Teaching is accomplished in Institute and other University courses, in advising graduate students, especially with respect to professional papers, master theses, and Ph.D. dissertations, in recruiting new students and helping them find internships and jobs, and in directing and supervising the work of research assistants on research projects. Effectiveness in classroom teaching and in other forms of student instruction and professional presentation will be assessed through consideration of course materials (syllabi, reading lists, student projects, course web sites, study guides, examinations, etc.), the development of new and innovative courses, formal class evaluations by students, oral and written student feedback, observations of classes attended by other faculty members, analysis of records of course enrollments, and papers, theses, and student dissertations produced under the candidate's guidance.

### **C. Significant Achievement in Service**

For the granting of tenure, Institute faculty are expected to engage in a mix of Institute, University, professional and public service and outreach activities, and to demonstrate significant achievements in one or more of these activities, including honors and awards for service. Some trade-offs among activities are possible and shall be negotiated in advance with the Dean and Associate Deans. Public service, professional service, Institute service, University service and outreach contributions should be documented. Service should be evaluated in terms of qualitative contribution and impact rather than amount of time devoted to each activity.

**Public Service** includes service and outreach to public sector, non-profit and international organizations and outreach to public audiences that may take any of the following documented forms:

- Holding of public office;
- Services as advisors or consultants – paid or pro bono – to public, non-profit and private sector organizations, including but not limited to serving on boards, advice and help in fashioning strategy, drafting of public reports, providing intellectual frameworks or bodies of evidence in support of policy initiatives (paid consulting activities should be so noted);
- Invited testimony before public bodies or commissions;
- Public speaking engagements;
- Articles in public affairs journals, public interest and community group newsletters, or other print media;
- Radio and television appearances;
- Opinion editorial pieces in newspapers or magazines; and
- Press coverage of faculty member's activities.

**Professional service** involves leadership roles in professional associations; service on commissions or committees set up by professional organizations; journal editorship or editorial board roles; and service as formal reviewer of journal articles and other scholarly manuscripts, research proposals for foundations, nominations of candidates for honorary titles (e.g. election to National Academies); review of files for promotion and tenure at other universities; and articles in professional newsletters and magazines.

**Institute and University service** includes membership on committees and leadership roles therein; initiatives that strengthen the Institute and/or University mission; and good citizenship service in Institute affairs (e.g., student and faculty recruitment efforts, attendance at faculty meetings, and mentoring of assistant professors).

### **IV. Application of the Criteria**

A candidate for indefinite tenure must show evidence of excellence in all three areas of research, teaching and service.

The Humphrey Institute recognizes that institutional service is required of all regular faculty members, but service expectations are fewer for probationary faculty than for tenured faculty.

## **V. Promotion**

**To Associate Professor:** Promotion to associate professor is based on the same criteria as the granting of tenure.

**To Professor:** For promotion to professor, in addition to criteria used for associate professor, a candidate must demonstrate the following for each category:

**A. Research:** Attainment of national or international scholarly reputation on the basis of significant publications beyond those that supported the granting of tenure, and other important contributions to the individual's area of specialization. The research will be judged by external reviewers as well as colleagues' assessments.

**B. Teaching:** A reputation for distinguished teaching (as elaborated in III-B), as indicated by superior performance over several years measured by the factors listed under the criteria for awarding indefinite tenure.

**C. Service:** Substantial service contributions in two or more of the service categories required for tenure: Institute and University service, professional service and public service.

## **VI. Post-Tenure Review**

Approved by HHHI Faculty, September 2000. Revised and approved by HHHI Faculty, March 11, 2004.

### **A. Goals and Expectations for Faculty Members**

(Pursuant to Section 7a.1 of Faculty Tenure Code – Review of Faculty Performance)

Members of the Humphrey Institute tenured faculty have the goals and expectations regarding teaching, scholarly productivity, and contributions to the service and outreach functions of the unit listed in our Tenure Code 7.12 Statement and can be summarized as follows:

All members of the Humphrey Institute tenure track faculty are expected to engage in research, to make periodic published contributions to scholarship, to fulfill obligations as teachers, and to share in the service necessary for successful functioning of the Institute and University. All tenured faculty are expected to devote a portion of their time to all three kinds of activity. Members of the faculty are encouraged to serve in professional associations, in policy advising, and in public service appropriate to their academic expertise beyond the direct demands of University employment.

### **B. Standards and Procedures**

(Pursuant to Section 7a.2, 7a.3 of Faculty Tenure Code)

In compliance with University policy, the faculty elects a post-tenure review committee, which shall consist of three members of the regular tenured faculty who do not hold

administrative appointments. One member of the committee will be elected each year by secret ballot at a faculty meeting early in the fall semester, on the basis of nominations from the faculty. The elections shall be conducted so that the term of one member expires each year. The initial election will be for one-, two-, and three-year terms; vacancies will be filled for the remainder of the unexpired term. A majority of those present and voting is required for election. No one will serve on the committee for two consecutive terms.

Under both the Compensation Policy and Tenure Code Section 7a.2, the faculty of the Institute must elect a peer faculty review committee consisting of three members who will review annually the performance of each faculty member who holds an appointment at the Institute. If the Dean or the annual faculty merit review committee concludes in the course of the annual merit review that a faculty member has a pattern of performance at a level that is substantially below the goals and expectations of the Humphrey Institute, the Dean must refer the matter to the post-tenure review committee for review in accordance with the University's post-tenure review policy. The merit review committee shall consider two consecutive years of rankings of 1 on a 3-point scale (1 being the lowest ranking on a five-point system; 1, 2-, 2, 2+, 3) for two of the three categories (teaching, research, service) to be a clear pattern of substantially below expectations performance and a trigger for recommending to the Dean a post-tenure review.

The Dean will provide the post-tenure review committee with such information including comparison information, as may be necessary to proceed appropriately. The post-tenure review committee will conduct the review in accordance with the University's Tenure Regulations and accompanying procedures. If the Dean concurs with the committee that the faculty member has performed at a level that is substantially below the goals and expectations of the Humphrey Institute, the Dean will inform the faculty member by letter (signed by both the dean and elected review committee chair), identifying the deficiencies and establishing a time period (usually by the time of the next annual review) during which the faculty member should address the identified problems.

If, at the end of the specified time period, both the Dean and the post-tenure review committee again find substandard performance, special review will be initiated in accordance with the University's Tenure Regulations and accompanying procedures.

A special review panel is designated for each case separately consisting of five tenured faculty members of equal or higher rank than the individual being reviewed. They need not be members of the academic unit conducting the review. The faculty member may designate one member of the panel, from anywhere in the University. The remaining members are elected by secret ballot.

The special review panel conducts a review of the individual faculty member. The panel collects information, including information and documentation from the faculty member and the dean, that reflects on the faculty member's performance. The panel may review the scholarly work of the faculty member, teaching evaluations, and other evidence of performance such as negotiated goals, tasks and accomplishments. The panel may also seek internal and external reviews. All documentation is placed in a file and the faculty member is given at least two weeks to review it and make a statement to the review panel (orally or written). The panel then prepares and signs its report and recommendations. (The special review process takes two to three months.) The faculty member may have the assistance of

an advisor or advocate throughout the process and is encouraged to have the counsel of a colleague.

The special panel may recommend a number of actions including: (1) terminate review, (2) alter allocation of effort, (3) suggest improvements, (4) continued special review, (5) salary reduction, or (5) dismissal, or a combination of these actions. The dean need not implement all of the recommendations from the panel, but may not impose additional or more severe measures without following proper procedures.

## **Statement Required by Section 7.12 of Regents Policy on Faculty Tenure and Promotion**

Revisions approved by HHH Institute Faculty, December 13, 2006; expiration date, December 13, 2016.

### **I. Introductory Statement**

This document describes with more specificity the indices and standards which will be used to evaluate whether candidates meet the general criteria in Section 7.12 of the Regulations. For a complete perspective, the reader is advised to review Section 7 in its entirety.

### **II. Institute Mission Statement (*adopted by the HHH Institute Graduate Faculty and Executive Council in January and February 2006*)**

The Hubert H. Humphrey Institute of Public Affairs inspires, educates, and supports innovative leaders to advance the common good in a diverse world.

The Institute pursues its mission by using its resources and those of the University to integrate:

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- Public engagement and scholarship to address important issues and to solve problems facing Minnesota, the nation, and the world in a non-partisan setting.

### **III. Criteria for Tenure**

The faculty of the Institute is committed to the generation of knowledge through research and professional writing, to the transmission of knowledge through teaching, and to service to the Institute, University, professional organizations and the larger public.

#### **A. Distinction in Research**

For the granting of tenure, the research criterion is significant published research and evidence of promise for future publication. Interdisciplinary work will be looked upon with particular favor. A candidate's research must be judged as high quality by external evaluators and must include articles in refereed journals, books or chapters of books published by a reputable press. No explicit quantity of publications is specified; the emphasis is on the quality of work accomplished and on evidence of a continuing program of research and scholarship on important public affairs topics and on potential for further scholarly accomplishment.

#### **B. Effectiveness in Teaching**

Teaching is accomplished in Institute and other University courses, in advising graduate students, especially with respect to professional papers, master theses, and Ph.D. dissertations, in recruiting new students and helping them find internships and jobs, and in directing and supervising the work of research assistants on research projects. Effectiveness in teaching will be assessed through consideration of course materials (syllabi, reading lists, student projects, course web sites, study guides, examinations, etc.), the development of new and innovative courses, formal class evaluations by students, verbal student feedback, observations of lectures attended by other faculty members, analysis of the record of course registration, and papers, theses, and dissertations of students performed under the candidate's guidance

### **C. Significant Achievement in Service**

Institute faculty are expected to engage in a mix of Institute, University, professional and public service activities, and to be able to demonstrate significant achievements in one or more of these, including honors and awards for service. Some trade-offs among various of these are possible and shall be negotiated in advance with the Dean and Associate Deans. Public service, professional service, Institute service and University service contributions should be demonstrated. Service should be evaluated in terms of qualitative contribution rather than amount of time devoted to each activity.

**Public Service** includes service to public sector, non-profit and international organizations and outreach to public audiences that may take any of the following documented forms:

- Holding of public office
- Services as advisors or consultants – paid or pro bono – to public, non-profit and private sector organizations, including, but not limited to serving on boards, advice and help in fashioning strategy, drafting of public reports, providing intellectual frameworks or bodies of evidence in support of policy initiatives (paid consulting activities should be so noted)
- Invited testimony before public bodies or commissions
- Public speaking engagements
- Articles in public affairs journals, public interest and community group newsletters, or other print media
- Radio and television appearances
- Opinion editorial pieces in newspapers or magazines
- Press coverage of faculty member's activities

**Professional service** involves leadership roles in professional associations; service on commissions or committees set up by professional organizations; journal editor or editorial board roles; and service as formal reviewers of journal articles, research proposals for foundations and candidates for honorary titles (e.g. election to

National Academies) and promotion and tenure at other Universities; articles in professional newsletters and magazines.

**Institute and University service** includes membership on committees and leadership roles therein; initiatives that strengthen the Institute's or University's mission; and good citizenship service in Institute affairs (e.g. student and faculty recruitment efforts, attendance at faculty meetings).

#### **IV. Application of the Criteria**

A candidate for indefinite tenure must show evidence of excellence in all three areas of research, teaching and service.

#### **V. Promotion**

**To Associate Professor:** Promotion to associate professor with tenure is based on the same criteria as the granting of tenure.

**To Professor:** For promotion to professor, in addition to criteria used for associate professor, a candidate should demonstrate the following for each category:

- A. Research:** Attainment of national or international scholarly reputation on the basis of significant publications and other important contributions to the individual's area of specialization. The research will be judged by external reviewers and well as colleagues' assessments.
- B. Teaching:** A reputation for truly distinguished teaching, as indicated by superior performance over several years measured by the factors listed under the criteria for awarding indefinite tenure.
- C. Service:** Outstanding service contributions in one or more of the service categories required for tenure – Institute and University service, professional service and public service. Institute service shall include mentoring of assistant and associate professors.