

# UNIVERSITY OF MINNESOTA

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**DATE:** May 14, 2025

**TO:** Praveen Aggarwal, Interim Dean, Labovitz School of Business and Economics  
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**FROM:** Rebecca Ropers, Interim Executive Vice Chancellor for Academic Affairs

**SUBJECT:** Promotion and/or Tenure Review: Process and Content of File

This memo provides information to faculty members eligible for tenure and/or promotion, to give members additional lead-time when preparing promotion and/or tenure files.

## **Guidelines and Processes for Promotion and/or Tenure Review**

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The bargaining agreement between the Regents and the UEA specifies the procedures for promotion and/or tenure recommendations in Section 201.400-201.485. These guidelines supplement but do not supersede the current bargaining agreement.

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

### **Initiation of Process (§ 201.405)**

A faculty member wishing to be considered for tenure and/or promotion must request in writing on or before September 30 of the academic year in question that the process for such consideration be initiated. Copies of these statements are to be placed in the faculty member's academic record file.

If a faculty member wishes to be considered for promotion and/or tenure, they must prepare a promotion file. Deans (principal administrators) meet with the faculty member and their department head to discuss the expected documentation in the promotion file and the date for completion of the file. A copy of this memo is to be given to the faculty member, the department head, and the convener once the promotion committee is chosen. If additional assistance is provided, all faculty within a department must be offered the same assistance. In all cases, the faculty member has primary responsibility for providing, maintaining, and organizing the materials necessary to make an evaluation.

### **Solicitation of External Review Letters**

At least four (4) letters from independent external reviewers who are at a rank above the candidate and are qualified to assess the candidate are to be submitted with the file. External reviewers should be current faculty members engaged in research/scholarship/creative activity. At least four letters should be independent in that there is no former or current collaboration, or close personal or professional relationship, between the faculty candidate and the reviewer (for example, they should not be former advisors, mentors, co-authors, or co-investigators on previous work). Exceptions to this will only be allowed through consultation and approval from the dean and EVCAA. Enough letters are to be solicited (with acceptance from reviewers) in order to secure four independent letters. All letters that are received by the deadline must be included in the candidate's file.

To select external reviewers, the convener and faculty member will each compile a list of potential external reviewers. These lists will be submitted to the dean for final approval. The dean (or designate) will initiate a request for potential external reviewers prior to sending the formal review request to ensure that they are willing to perform the review and will be available to submit the review to meet the promotion and/or tenure timeline. These requests for external reviewers can be modeled [using this template](#) and should include the following points:

- Describe the procedure used to select the external reviewers
- Ask reviewers to provide a biosketch and disclose their relationship, if any, with the candidate
- Ask reviewers to focus their evaluation on the candidate's research and scholarship, not on their teaching and service
- Ask reviewers not to comment on whether the candidate would be granted promotion and/or tenure at their own institution
- Ask reviewers to submit their evaluation electronically on institutional letterhead

Letters may be solicited from other individuals, such as graduate or postdoctoral advisors, if the department P&T committee believes that they could provide unique information concerning the candidate's record. These additional letters cannot be part of the required four independent reviews but can be placed in the P&T file.

For candidates for full professor, external reviewers will not typically have served as a reviewer for the candidate's initial tenure decision. Exceptions to this will only be allowed through consultation and approval from the dean and EVCAA.

Candidates may not contact or seek to influence external reviewers either before or during the review process.

### **Promotion/Tenure Readiness Form (§ 201.415)**

Once the P&T file is complete, the dean must provide the faculty member with the "Promotion/Tenure Readiness Form," which the member signs to affirm that the file is ready for the promotion committee's review. The faculty member should sign the form only after all information (including external review letters) is in the file. A copy of this form must be distributed to all eligible voting members at least ten calendar days before the committee meeting at which the vote is taken.

### **Eligible Voting Members (§ 201.420)**

Eligible voting members include those members who are senior in rank to the member under

review. Eligible voting members seniority is as follows: tenured full professor, tenured associate professor, tenure-track associate professor, tenure-track assistant professor, teaching associate professor, teaching assistant professor, senior instructor, instructor. It is expected that eligible voting members be faculty from the same collegiate unit or, in special circumstances, a related discipline from another unit as appropriate. When there are not at least five (5) eligible voting members in a department, additional eligible voting members will be appointed by the principal administrator as provided in Section 201.425. Eligible voting members do not include those members who are outside the United States or on disability or medical leave.

### **Review and Recommendation by the Department**

The P&T file is made available for each eligible voting faculty member to review. The designated P&T coordinator in each college will secure the file and assure appropriate access throughout the process. The file is to be accessible only to eligible voting faculty. Every eligible voting faculty member is to read the file because a person's decision must be based solely on the information in the file. As per section 955.220 of the bargaining agreement between the Regents and the UEA, the committee may also request to review the candidate's academic record file and record of performance evaluations.

### **Written Notice and Agenda (§ 201.430)**

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

### **Simple Majority of Quorum (§ 201.435)**

The committee can make a recommendation only if there is a simple majority of a quorum of the eligible voting members. A quorum is two-thirds of the eligible voting members.

### **Ballots and Tallying Ballots (§ 201.440)**

The vote must be by written, unsigned ballot. The ballots are to be standard and prepared prior to the meeting. Two eligible voting members, excluding the convener, shall count the votes. In the case of a vote for promotion and tenure of an Assistant Professor, the choice whether to award tenure and to promote is to be presented as a single question for faculty vote unless there is a clear explanation for the discrepancy that can be justified by the 7.12 statement. If there is a discrepancy in the vote totals for promotion and tenure, a letter from the convener describing the reason is to be included in the file that moves forward to the college office. Abstentions from voting on promotion and/or tenure are strongly discouraged.

### **Committee and Convener Reports to Principal Administrator (§ 201.445)**

Within seven days of the vote, the convener sends the following to the college office:

- original ballots in a sealed envelope with the faculty member's name and date of vote (which must be kept by the college for at least three years)
- a convener's report, which includes:
  - the number of eligible voting members
  - the number of votes cast in favor of the recommendation
  - the number of votes cast in opposition to the recommendation
  - the number of eligible voting members present but abstaining
  - a statement of the committee's recommendation identifying the reason(s) therefore
  - a statement of any minority recommendation, identifying the reason(s) therefore
  - a separate statement of whether the convener agrees with the majority's

recommendation and a statement identifying their reason(s) for such agreement or disagreement

- a department head evaluation of the member's teaching and service if the department head is not an eligible voting member

### **Right to Review and Supplement (§ 201.450)**

For a period of ten (10) calendar days following the member's receipt of these materials, the member shall have the right to review them and their file and supplement the file with written comments or documents, provided such supplemental comments or documents are accompanied by a written statement identifying at whose request such comment or document was prepared, who prepared it, and the date of its preparation, all of which becomes part of the file.

Upon written request, a member may confer with the dean before a recommendation is made to the EVCAA. At any time in the review process before a decision is made by the Chancellor, a member may withdraw their candidacy by making a request in writing to the dean. Upon receipt of such a request, the file will not be further reviewed. Candidates in a mandatory decision year must also submit a letter of resignation, effective no later than the end of the faculty member's next academic year.

Candidates may view their file at any time during the review process. Only eligible voting members, the dean, the collegiate P&T coordinator, the EVCAA's and Chancellor's Offices will have access to the file.

### **Contents of Promotion and/or Tenure File**

Each candidate's file should be submitted as one single PDF with bookmarks. Files are to be labeled with last name, first name, and college in the title, e.g. "Doe, Jane, SCSE". The candidate is responsible for preparing the complete file and providing it to the collegiate faculty promotion coordinator ahead of the deadline. The coordinator should upload the single candidate file by the submission deadline into an electronic folder as directed by the faculty promotion coordinator in the EVCAA's Office.

The promotion and tenure file is not to exceed 150 pages. Conveners are asked to review the candidate's file prior to submission to ensure adherence to these instructions.

Faculty may (but are not required to) include a narrative on how external factors may have impacted their teaching, research, or service.

### **The PDF is limited to the following bookmarked sections, in this order:**

- **Dossier Cover Sheet** (See [Appendix B1](#) and [Appendix B2](#))
- **Table of Contents**
- **Letters from Each Level of Review**
  - Promotion Committee
  - Convener (if separate)
  - Department Head (if appropriate)
  - Dean

- **Annual Appraisals (Form 25s)** [Tenure-Track Faculty Only]
  - Copies of signed Form 25s from all previous years at UMD.  
*It is not necessary to include a Form 25 for the academic year in which a decision regarding tenure and promotion is made.*
  
- **Curriculum Vitae**
  - All items since appointment to the candidate's current role/rank should be noted in blue text.
  - Funding sources and amounts of grants, contracts, or awards received should be included.
  - Clearly identify which publications are refereed.
  - Candidates are encouraged to use the [C.V. template](#) developed for the UMN System.
  - All joint authorship publications should have an attribution statement that describes the candidate's contributions. An estimated percentage contribution for each co-author may be included, but is not required (e.g., 60% faculty member, 40% joint author). Designation of joint authorship with students is to be annotated.
  
- **Scholarly Statement(s)**
  - Faculty members should include a statement (or statements) providing context for their scholarly contributions in the areas of teaching, research, and service as appropriate to their appointment. Statements should include a narrative description of their professional/scholarly trajectory, significant scholarly contributions, educational philosophy, and plans for future contributions.
  
- **Teaching & Advising**
  - A narrative summary of teaching, including courses taught and numbers and types of students served. If a faculty member advises graduate students, indicate how many have completed degrees and how many are currently in progress. The narrative should include a discussion about how the candidate has used teaching evaluations, professional development, and any teaching related funding to improve the quality, effectiveness, and impact of their teaching.
  - Evidence of teaching effectiveness. The file should state clearly which evaluation options the faculty member used for each semester. This may include a summary chart of student evaluations of teaching that includes the means and standard deviations (at least six years are required), peer evaluations of teaching (may be required by departmental 7.12 statements), or other documentation. While evidence in the promotion file should be limited to 10 pages, additional information can be included in the supplemental folder, if desired.
  - While it is recommended that all courses be included, at least 50% of the courses taught within the review period being evaluated must be included. The candidate may include a statement contextualizing the evaluations.
  - Students are not to be solicited to write letters on behalf of the candidate.
  
- **Research/Scholarship/Creative Activity**
  - A narrative summary of research/scholarship/creative activity.
  - For those faculty for whom performance and exhibition are the primary outlet, provide documentation of setting and/or the details of a reviewed or juried performance or exhibition.

- Copies of scholarly works that were sent to external reviewers should be included in a separate supplemental folder, not in the main file.
- **Service**
  - A narrative summary of service and leadership roles in university, professional, and professionally-related community service, the member's specific contributions, and the impact of the service.
- **External Reviews**
  - Sample letter that solicited external reviews
  - Biosketches of the external reviewers, which include their professional qualifications, institutional rank and affiliation, and a statement of their familiarity/relationship with the candidate.
  - A minimum of four independent external review letters
- **Internal Reviewers** (optional, 3 maximum)
  - Include a sample copy of the letter sent to internal (on campus) reviewers requesting evaluation of the faculty member's work. Reviewers are to focus their letters on the items of tenure and/or promotion as listed in the 7.12 statement.
- **Other Information**
  - If applicable, please describe any other items outlined in the department 7.12 statement that were not captured elsewhere in the dossier.

### **Supplemental Materials**

Any supplemental material should be placed in a separate folder and does not count toward the 150-page maximum.

cc: Chancellor's Office  
Office of Human Resources