

Departmental Statement Required by
Section 7.12 of Regents Policy on Faculty Tenure
Department of Pharmaceutical Care & Health Systems
University of Minnesota, College of Pharmacy

Adopted by Department of Pharmaceutical Care & Health Systems, November 19, 2015;
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I. Introductory Statements

This document is the 7.12 Departmental Statement that describes the indices and standards used to evaluate whether candidates meet the General Criteria in Section 7.11 and the Departmental Statement in Section 7.12 of the regulations concerning the *Regents Policy on Faculty Tenure* (*Faculty Tenure*, University of Minnesota, June 10, 2011; hereafter, cited as “*Regents Policy on Faculty Tenure*”). For a complete perspective, the faculty member is advised to review the *Regents Policy on Faculty Tenure* in its entirety.

This document is the 7.12 Departmental Statement that describes indices and standards for the following types of faculty evaluations:

- A. Annual performance appraisal of probationary faculty for progress toward achieving tenure and promotion;
- B. Recommendation for awarding indefinite tenure;
- C. Recommendation for promotion in rank and rank at appointment;
- D. Description of the criteria for appointment at, or promotion to, the ranks of Assistant Professor, Associate Professor, and Professor; and
- E. Annual performance appraisal for post-tenure review according to Section VI. of this document and Section 7a. Review of Faculty Performance as described in the *Regents Policy on Faculty Tenure*.

II. College & Department Missions and Academic Values Statements

A. College of Pharmacy Mission

The College of Pharmacy inspires and educates current and future pharmacists and scientists, engages in cutting-edge research and leads practice development to improve the health of the people of Minnesota and the world.

B. PCHS Department Mission

Impacting the optimization of medication use for the benefit of patients and society.

C. PCHS Department Vision

The Department of Pharmaceutical Care & Health Systems will be the world-wide destination for education, research, and service that optimizes medication use and improves the health of all people through advancing pharmacy practice and effecting systems change.

D. PCHS Academic Values

The culture and climate of an academic setting are important to the context in which faculty function individually and collectively as they strive to accomplish the mission and vision of the Department, College, and University. The following values statements describe collectively held views of the faculty members in the PCHS Department. While these values are not explicitly part of the criteria for promotion and tenure, these values describe and color the context for the culture and climate in the PCHS Department. Faculty in PCHS hold that education, research and other

scholarly activity, practice, and service, including administration and other forms of service, are essential to the success of the Department, the College, and the University.

1. Faculty in PCHS are viewed as a valuable academic asset and it is the stated goal and expectation that all faculty will progress, with encouragement and support, based on performance that warrants promotion through the ranks of Instructor, Assistant Professor, Associate Professor, and Professor.
2. Faculty in PCHS draw upon diverse disciplinary perspectives (i.e., including social and behavioral sciences; economic and management sciences; clinical and health sciences; educational and psychological sciences; biological and chemical sciences; public health, epidemiology, and related sciences) and experiential backgrounds (i.e., including basic and applied research; professional, graduate, and post-graduate teaching; professional practice; management and administration; public and community engagement; and public policy involvement).
3. Faculty in PCHS hold that mentoring is a process that is important to the continued quality and advancement of the academic enterprise. Participation in the mentoring process, both as a mentor and as the one being mentored, is encouraged and recognized as an important service activity.
4. Faculty in PCHS value interdisciplinary, interprofessional, and collaborative activities related to research, education, practice, service, and administration and these activities will be recognized and evaluated based on the contributions of the individual to the collaborative research and education.
5. Faculty in PCHS value the profession of pharmacy and the advancement of pharmacy and pharmaceutical care within the health care systems serving the needs of Minnesotans and the nation for the benefit of patients and society.
6. Faculty in PCHS value the role of practitioners as both educators and scholars and encourages their participation in the Department, the College, and the University.
7. Faculty in PCHS value public engagement and interaction of faculty with the community and the broader public through activities that include education, research, practice, service, and administration.

III. Annual Appraisal of Probationary Faculty

- A. Upon hiring of non-tenured, tenure-track faculty, the faculty member will be in a probationary status until they are awarded indefinite tenure or they leave employment at the University. An annual performance appraisal of each probationary faculty will be conducted at the end of each year in the probationary period to determine the faculty member's progress toward achieving tenure and promotion. This review will compare the faculty member's performance against the *Regents Policy on Faculty Tenure* Section 7.11 (General Criteria) and Section 7.12 (the Departmental statement and criteria).
- B. The continuation of probationary faculty is not automatic. The primary criterion for the continuation of probationary faculty is the satisfactory progress towards meeting the standards for promotion to the rank of associate professor and for the conferral of tenure. All of the criteria and guidelines used by the Department for promotion and conferral of tenure are contained in this document.

- C. In fulfillment of Sections 7.11 and 7.12 and in accord with Section 7.2 of the *Regents Policy on Faculty Tenure*: “*the tenured faculty of each academic unit annually reviews the progress of each probationary faculty member toward satisfaction of the criteria for receiving tenure. The head of the unit prepares a written summary of that review and discusses the candidate’s progress with the candidate, giving a copy of the report to the candidate.*”
- D. All probationary faculty members will undergo an annual review each academic year. An academic year is defined in Section 5.3 in the *Regents Policy on Faculty Tenure*. The annual review of probationary faculty will be recorded on the University of Minnesota (UM) Form 12 and will reflect the faculty member’s performance relative to the 7.12 Statement. A record of the vote by the tenured faculty for continuation or recommendation for promotion and/or tenure will be included on the UM Form 12. If a faculty member has extended his or her probationary period according to Section 5.5 of the *Regents Policy on Faculty Tenure*, this will be noted on the UM Form 12 during the annual review.
- E. The department head will meet annually with each probationary faculty member to review his/her completed UM Form 12. The department head and faculty member will sign the completed UM Form 12. The UM Form 12 is forwarded to the dean for review, comment, and signoff.
- F. The UM Form 12 is then forwarded to the senior vice president for academic affairs and provost (SVPP) for review, comment, and signoff. The signed UM Form 12 will be kept in the probationary faculty member’s tenure file and will become a part of the dossier for promotion and tenure.
- G. “*In the final probationary year, if a vote of the tenured faculty does not recommend that a probationary faculty member be given an appointment with indefinite tenure, then the tenured faculty must recommend termination of the probationary faculty member’s appointment*” (Section 7.3 of the *Regents Policy on Faculty Tenure*).

IV. Granting of Indefinite Tenure

The University of Minnesota, above all, seeks faculty members with intellectual distinction and academic integrity. “*The basis for awarding indefinite tenure to the candidates possessing these qualities is the determination that each has established and is likely to continue to develop a distinguished record of academic achievement that is the foundation for a national or international reputation or both.... The awarding of indefinite tenure presupposes that the candidate’s record shows strong promise of his or her achieving promotion to professor.*” (Section 7.11 of the *Regents Policy on Faculty Tenure*).

A. Criteria for Tenure: University Statement

The criteria for decisions on tenure (Section 7.11, *Regents Policy on Faculty Tenure*) specify that “*this determination is reached through a qualitative evaluation of the candidate’s record of scholarly research or other creative work, teaching, and service. The relative importance of these criteria may vary in different academic units, but each of the criteria must be considered in every decision. Demonstrated [research and] scholarly or other creative achievement and teaching effectiveness must be given primary emphasis; service alone cannot qualify the candidate for tenure. Interdisciplinary and interprofessional work, public engagement, international activities and initiatives, attention to questions of diversity, technology transfer, and other special kinds of professional activity by the candidate should be considered when applicable.*”

B. Criteria for Tenure: Departmental Statement

The PCHS Department holds that the primary criteria for tenure are professional distinction through effectiveness in teaching and research or other related research and scholarly activity. Throughout this document the term 'research' may be used to imply 'research or other scholarly activity'. The performance of practice, community engagement, service, and/or administration, will be taken into account in the review of a candidate for tenure. The expectation in the two primary areas (education and research) will be adjusted proportionately to account for assigned duties in these other areas of professional activity (such as practice and administration). Practice, community engagement, service, and administration will be taken into consideration, but these activities alone may not be the sole basis for awarding tenure.

C. Criteria for Tenure: Teaching and Other Educational Activity

The requisites for effectiveness of an educator include intellectual competence, integrity, independence, leadership, collaboration, enthusiasm, a spirit of scholarly inquiry, a continuous increase in knowledge of the subject taught, and an ability to effectively transmit knowledge to students, to arouse curiosity in beginning students and to stimulate advanced students to creative work. Teaching encompasses educational activities in the classroom, experiential settings, graduate and post-professional education, continuing education, and one-on-one educational environments. Evaluation of effectiveness will include appropriate peer and student evaluation of teaching.

The evaluation of effectiveness of the candidate's contributions to education must be judged by as having scholarly character and consisting of high quality and significance. Continuing education articles, contributions to textbooks, development of continuing education programs or other educational materials should be considered in education evaluation. Among the activities that will be considered in evaluating teaching effectiveness are:

1. The candidate's teaching competence as determined through teaching evaluations by a qualified peer and/or comments of other instructors of equal or higher rank, in team-taught courses. Peer evaluation should include documentation related to clarity and appropriateness of student expectations, knowledge of teaching area, instructional strategies including technology enhanced learning, handouts, visual aids, delivery, classroom management, student engagement, respect for students and encouragement of questions.
2. The candidate's overall teaching ability as perceived by students and documented by their responses on annual formal student evaluations of teaching in a course in which the candidate is the major instructor or in the course in which the faculty member has the greatest role in teaching.
3. The candidate's contributions to professional pharmacy education as demonstrated by activities such as the following:
 - a. Developing a new course, new experiential education experience, new lab exercises or experiences, or revising an existing course;
 - b. Delivering a substantial body of material to professional students using effective and innovative techniques that contribute to the integration and integrity of the professional pharmacy curriculum in either required or elective courses;
 - c. Receiving an educational development grant or directing an experimental educational program;
 - d. Developing or adapting a course for delivery using technology enhanced learning;
 - e. Developing and presenting a continuing education course or program or other related adult education programs;
 - f. Developing a certificate program or other form of advanced professional education;

- g. Publishing a continuing education article; or authoring or co-authoring a book or chapter in a book or a monograph related to education in pharmacy, medicine, or health care;
 - h. Participating as an invited contributor in a national symposium or workshop on some aspect of pharmacy or pharmacy education; or
 - i. Receiving a College, University, state, or nationally recognized teaching award.
4. The candidate's contributions to graduate and post-graduate pharmacy education as demonstrated by any of the following:
 - a. Attracting and advising graduate students through to completion of an M.S. or Ph.D. degree;
 - b. Attracting and advising residents and fellows through to completion of a residency or fellowship certificate;
 - c. Co-authorship on publication of articles, abstracts, or posters with graduate students, residents, fellows, or post-doctoral researchers; and
 - d. Participation in graduate course teaching, including new course development, service as course director, and development of new course material or methods.
 5. Probationary faculty who are required to provide students of the College with experiential education opportunities (clerkships and externships) will be evaluated on their ability to establish and maintain a pharmaceutical care practice setting to serve as a vehicle for their teaching activities.

D. Criteria for Tenure: Research and Other Scholarly Activity

The candidate should have demonstrated excellence and leadership in research, through original research activities (independent and/or collaborative), and should have demonstrated the capability of directing and conducting original research of high quality. Both disciplinary and interdisciplinary, as well as interprofessional research, are valued and will be evaluated. Among the activities that will be considered in evaluating the candidate's research or other scholarly activity are the following:

1. Publications

The candidate is the primary author of original research (independent and/or collaborative) published in peer-reviewed journals, proceedings, on-line articles, or other forms of dissemination reflecting the candidate's area of expertise. Primary authorship is defined as the author that is primarily responsible for initiating, conducting and reporting the research. Articles resulting from collaborative work for which the candidate is the primary author should appropriately recognize as authors, or by other form of acknowledgement, the contributions of other researchers who contributed to the research and to the writing of the article. Scholarly publications in which the candidate is an author but not the primary author and other publications such as letters to the editor, case reports, drug reviews, or therapeutic reviews published in peer-reviewed journals are also important, but will not be the sole basis for awarding tenure. Publications resulting from work as a student or a post-doctoral fellow will not normally be considered in evaluating the candidate's research or scholarly productivity, unless they meet the criteria for primary authorship as defined above. For all co-authored articles, the contribution of the candidate should be specifically described in the promotion dossier.

2. Research Funding

The candidate has secured funding from sources outside the University to support his/her original research activities (independent and/or collaborative). The candidate should also demonstrate the ability to obtain research funding from federal agencies, foundations, or private sources by competition at a national level. Some of the funding of this research and scholarly activity should have gone through a peer-review process that evaluates the quality of the research and scholarly work.

3. Training of Graduate and Post-Graduate Professionals in Research

The candidate has demonstrated the ability to train graduate or post-graduate professionals in research and scholarly activity as evidenced by an ongoing research program of original research. This may include research training of advanced professionals for graduate degree programs, residency or fellowship programs, or post-doctoral research programs.

4. Peer Recognition

The candidate has demonstrated that she/he is recognized by peers as making significant contributions to the field. Examples of such evidence include invited presentations in national or international scientific and professional meetings, receiving recognition awards (e.g., career development, young investigator, research achievement, etc.), serving on national review committees and editorial boards, election to national organizations that recognize excellence in the discipline, or invited participation in legislative, regulatory, or public policy processes.

5. Intellectual Property and Technology Transfer

The discovery and development of new knowledge that leads to creation of intellectual property is valued and may be considered for purposes of promotion and tenure. This may include materials, processes, and uses that lead to patents, trademarks, copyrights and other forms of intellectual or commercially valuable property. A strong record of intellectual property generation and technology transfer will enhance the scholarly activity of a candidate, but a distinguished record of scholarly publication is still an essential requirement for tenure.

6. Quality of Work and Potential for Advancement

A review of three of the candidate's publications and other research efforts by at least four (or more if required by the AHC or the University) academic peers of higher rank at other institutions with expertise in the same, or a similar, area must conclude that the work is scholarly, creative, original, and of high quality and significance.

E. Criteria for Tenure: Service and Administration

Service may involve many forms of contribution to the University and the broader community including, but not limited to, University administrative activities, representing the University in the community, and public policy contributions. PCHS faculty are expected to participate regularly in faculty meetings and committee work for the Department and the College, and if called upon to do so, the University. These service activities must be considered in the tenure evaluation process along with education and research activities. For faculty members with substantial effort in this area, the expectation in other areas (education and research activity) will be adjusted to account for the relative proportion of time spent in each area. The relevance of service and administrative activities to the missions of the Department and the College of Pharmacy should be assessed. Evidence of the strength and quality of these activities should be provided by the individual faculty member and should be evaluated by qualified peers or colleagues with experience related to such activities as a part of the promotion and tenure process.

Among the activities that will be considered in evaluating the candidate's service and administration are significant contributions to the following:

1. Student welfare through service related to student interests, activities or organizations;
2. Professional associations and scientific organizations;
3. Collaborative efforts with other health professions;
4. Society through community interaction and activities;
5. The public policy process through participation with governmental agencies and legislative bodies;
6. The state and nation through other special capacities as a scholar;
7. Mentoring of others in the University or professional community; and
8. Other appropriate service activities.

Recognition should be given for the valuable contributions of leaders and administrators in directing the activities of the Department, College, or University. The leadership and administrative activities shall be evaluated by the faculty member's administrative supervisor, peer administrators in other units within or outside this University, and faculty under the direction of the administrator.

Service including administration may proportionately compensate for reduced contributions in teaching and research, but may not be considered as the primary area for tenure evaluation. A strong record of service and administration is valued and will be given proportionate consideration and strength in the evaluation of a faculty member of tenure or promotion.

F. Criteria for Tenure: Community Engagement

Community engagement involves synergistic elements of scholarship, education and service in a manner that is sometimes difficult to separate into the individual components. This community engagement, nonetheless, may be recognized as an appropriate contribution to the productivity and reputation of the faculty member. The community engagement may be assessed through measures that identify the impact of the activity, the dissemination of results, the scholarly approach to the engagement process and activity, and other appropriate methods.

These community engagement activities must be considered in the tenure evaluation process based on the degree to which they contribute to education, research and service activities. For faculty members with substantial effort in this area, the expectation in other areas (education and research activity) will be adjusted to account for the relative proportion of time spent in each area. The relevance of community engagement activities to the missions of the Department and the College of Pharmacy should be assessed. Evidence of the strength and quality of these community engagement activities should be provided by the individual faculty member and should be evaluated by qualified peers or colleagues with experience related to such activities as a part of the promotion and tenure process. Community engagement will proportionately compensate for reduced contributions in education and research, but may not be considered as the primary area for tenure evaluation. A strong record of community engagement is valued and will be given proportionate consideration and strength in the evaluation of a faculty member of tenure or promotion.

G. Criteria for Tenure: Professional Practice

For candidates who have a practice component to their faculty responsibilities, a distinction in the special competencies and activities of a specific field of professional practice (including general practice) should be recognized and demonstrated as a criterion for promotion. Evaluation of the practice competence of the candidate should be made by appropriate peers. The candidate must

demonstrate distinction and special competence in a specific field of pharmacy practice which may include general practice. The candidate's professional activities should be assessed for evidence of achievement, leadership, practice advancement, and the development or utilization of new approaches and techniques for the solution of professional problems or other creative activities. The review should be guided by other documents such as the *Expectations and Promotion Timeline for Practice-based Faculty in the PCHS Department*. This evaluation should include the candidate's contributions in the following areas:

1. Innovative pharmacy practice activities or models;
2. Pharmaceutical care competence in the detection, assessment, and resolution of drug therapy problems;
3. Provision of quality patient care services to a sufficient quantity of patients for evaluation;
4. Provision of quality post-graduate practitioner training programs;
5. Evidence of interprofessional collaboration in patient care; or
6. Other documentary evidence of professional practice achievements as provided by the candidate.

H. Procedures for Initiation and Granting of Tenure

The Department complies with the procedures for reviewing the performance of probationary faculty as provided in Sections 7.4, 7.61, and 16.3 of the *Regents Policy on Faculty Tenure*.

1. Initiation of Recommendation for Tenure

A request to be considered for tenure may be initiated by any probationary faculty member of the Department faculty for himself/herself, or a request may be made by any tenured faculty member in the Department for a probationary faculty member in the Department. A faculty member may decline consideration for tenure by requesting the Committee to remove his/her name from the process. It is strongly recommended that a faculty member who believes she/he should be considered for tenure should discuss this possibility with the Department Head and obtain, if at all possible, the support of the Head for consideration. The Promotion and Tenure Committee will consider all candidates in accordance with Section IV. of this document titled "Granting of Indefinite Tenure." The Committee's recommendation will be considered in a special faculty meeting attended by faculty eligible to vote. Voting on a recommendation to grant indefinite tenure will be by a secret ballot of all faculty who hold indefinite tenure in the Department of Pharmaceutical Care & Health Systems, regardless of rank.

2. Granting of Tenured Appointments

Tenured appointments (indefinite tenure) will be granted only to probationary faculty, or to new hires that hold a position funded with resources designated as being for a specific tenured or tenure-track position and who meet the University and Departmental criteria for granting of indefinite tenure as described in this document (Section IV.). College faculty with contract appointments are eligible to apply for available "tenure-track" positions through participation in a search process when a tenure-track probationary faculty position is available. A tenured appointment shall be made only after a majority of the Department's Promotion and Tenure Committee and a majority of the faculty who hold indefinite tenure have voted in favor of a recommendation for indefinite tenure.

3. Relationship Between Tenure and Promotion

The University prescribes certain relationships between a vote to grant indefinite tenure and a vote to promote a faculty member (Section 6.3, *Regents Policy on Faculty Tenure*). PCHS

adheres to these University-prescribed relationships and addresses other circumstances for granting of indefinite tenure and awarding of rank as described below:

- a. *“Only regular faculty members at the ranks of associate professor and professor may hold indefinite tenure. The granting of indefinite tenure to an assistant professor on a probationary appointment must be accompanied by promotion to associate professor. The promotion of an assistant professor on a probationary appointment to the rank of associate professor must be accompanied by an appointment with indefinite tenure. The choice whether to award tenure and to promote is presented as a single question for faculty vote.”* (Section 6.3, *Regents Policy on Faculty Tenure*).
- b. *“An associate professor with a probationary appointment may be granted indefinite tenure without a promotion in rank. The promotion of an associate professor on a probationary appointment to the rank of professor must be accompanied by an appointment with indefinite tenure. Promotion of an instructor to the rank of assistant professor is not accompanied by an appointment with indefinite tenure.”* (Section 6.3, *Regents Policy on Faculty Tenure*).
- c. A new faculty member may be hired at the rank of associate professor with or without the granting of indefinite tenure. When hiring a new faculty member at the rank of Associate Professor, the vote on granting of indefinite tenure shall be separate from, precede, and be in addition to, the vote for awarding of rank as an Associate Professor. (See Sections 6.3 & 9.1, *Regents Policy on Faculty Tenure*).
- d. A new faculty member may be hired at the rank of professor and this rank must be accompanied by the granting of indefinite tenure. When hiring a new faculty member at the rank of professor accompanied by the granting of indefinite tenure, the vote on rank of professor accompanied by granting of indefinite tenure shall be presented as a single question for faculty vote. (See Sections 6.3 & 9.1, *Regents Policy on Faculty Tenure*).

V. Criteria for Promotion in Rank and Rank at Appointment

A. Criteria and Specific Standards for Various Ranks

1. Criteria for Promotion to, or Appointment as, Assistant Professor

Promotion to, or awarding of, the rank of Assistant Professor requires that a candidate has demonstrated a capacity for education and original research (independent or collaborative) and, where appropriate, innovative or exemplary pharmacy practice. This rank may also be accorded a person who has completed only the educational program characteristic of her/his discipline when that person has given evidence of superior potential for professional growth and productivity as a teacher, researcher, or practitioner. A demonstrated capacity for university and public service, or for superior professional activity, may be used as a parameter for promotion to this rank. The candidate should have the ability to participate in the training of research investigators or advanced degree professionals.

2. Criteria for Promotion to, or Appointment as, Associate Professor

Promotion to, or awarding of, the rank of Associate Professor requires clear and demonstrable evidence that the candidate has developed a program of original research (independent or collaborative), education, and service. If education is the primary criterion, the candidate shall provide demonstrable evidence of effectiveness and excellence in teaching activities

including evaluations by appropriate peers and by students. If research is the primary criterion, the candidate shall provide demonstrable evidence of high quality original research (independent and/or collaborative) that leads to peer-reviewed publications including some publications that are in highly regarded journals or published by other significant and appropriate means of dissemination. The candidate should have demonstrated the ability to successfully supervise the training of research investigators, residents and fellows, advanced practitioners, or advanced degree professionals. If professional practice, professional service, community engagement, or university and public service represent a significant aspect of the candidate's activities, he/she should provide evidence of a developing reputation that will lead to national recognition in the area with the potential for recognition through appropriate professional and public organizations. Promotion to the rank of Associate Professor implies that the individual is growing in experience and academic maturity and has the future potential to achieve stature and recognition as a national authority in his/her discipline through the continued development of an original program of research, education, and service.

The recommendation to promote to the rank of Associate Professor is simultaneous with a decision to grant tenure for a probationary, tenure-track Assistant Professor. However, appointment to Associate Professor without tenure may be granted at initial hiring. The vote to grant tenure at initial hiring shall be a separate vote and may or may not be conducted at the time of initial hiring. (Section 9.1 of the *Regents Policy on Faculty Tenure*)

3. Criteria for Promotion to, or Appointment as, Professor

“The basis for promotion to the rank of professor is the determination that each candidate has (1) demonstrated the intellectual distinction and academic integrity expected of all faculty members, (2) added substantially to an already distinguished record of academic achievement, and (3) established the national or international reputation (or both) ordinarily resulting from such distinction and achievement. This determination is reached through a qualitative evaluation of the candidate’s record of scholarly research or other creative work, teaching, and service. The relative importance of these criteria may vary in different ...[candidates], but each of the criteria must be considered in every decision. Interdisciplinary work, public engagement, international activities and initiatives, attention to questions of diversity, technology transfer, and other special kinds of professional activity by the candidate should be considered when applicable. But the primary emphasis must be on demonstrated scholarly or other creative achievement and on teaching effectiveness, and service alone cannot qualify the candidate for promotion.” (Section 9.2 of the *Regents Policy on Faculty Tenure*).

Promotion to, or awarding of, the rank of Professor implies that the faculty member has reached advanced academic maturity and requires evidence that the candidate has achieved stature and recognition as a national or international authority in his/her discipline through the development of an original program of research, education, and service. If education is the primary criterion for promotion, the candidate should be clearly superior as a teacher, there should be evidence of innovation and scholarship in teaching, there should be evidence of excellent performance through peer and student evaluations, and there should be evidence of excellence in students whom he/she has prepared for careers in education, scholarship and service. If research is the major aspect of the candidate's activities, he/she should have demonstrated sustained accomplishments and ongoing research activity through original research (independent and/or collaborative) with evidence of high quality work that has led to a substantial body of peer-reviewed publications including some publications that are in

highly regarded journals or published by other significant and appropriate means of dissemination. The candidate should have demonstrated the ability to successfully supervise the training of research investigators, residents and fellows, advanced practitioners, or advanced degree professionals. If professional practice, professional service, community engagement, or university and public service represent a significant aspect of the candidate's activities, he/she should have obtained national and/or international recognition in the area through appropriate professional and public organizations.

B. Joint Appointments

Initial appointments, or promotion of a faculty member with a primary appointment in the PCHS Department with a secondary appointment elsewhere in the University, shall be reviewed in the same manner as a faculty member with a full-time, primary appointment in the PCHS Department with the additional requirement that consideration will also be given to a recommendation from the Head of the unit in which the faculty member has a secondary appointment. The recommendation from the Head of the unit that has given the faculty member a secondary appointment shall include relevant information on qualifications and performance of the faculty member. The unit, school, or department in which the secondary appointment is held may conduct its own independent academic review.

Initial appointments, or promotion of faculty member with a secondary appointment in the PCHS Department with a primary appointment elsewhere in the University, shall be reviewed in the same manner as a faculty member with a full-time, primary appointment in the PCHS Department with the additional requirement that consideration will also be given to a recommendation from the Head of the unit in which the faculty member has a primary appointment. The recommendation from the Head of the unit that has given the faculty member a primary appointment shall include relevant information on qualifications and performance of the faculty member. The unit, school, or department in which the primary appointment is held may conduct its own independent academic review.

C. Criteria for Promotion

Excellence in education, research, practice, service, and administration are meaningful parameters for academic promotion. Although a balance among these functions is usually desirable, it is recognized that the best use of professional talent may often dictate that a faculty member's contribution in one area will predominate. Either education or research must be the primary basis for promotion in rank. Practice, service, and administration will proportionately compensate for reduced contributions in education and research, but may not be considered as the primary basis for promotion. Assessment of a faculty member's academic activities as a basis for promotion shall include, but not be limited to:

1. Criteria for Promotion: Teaching and Other Educational Activity

The requisites for effectiveness of a teacher include intellectual competence, integrity, independence, leadership, collaboration, enthusiasm, a spirit of scholarly inquiry, a continuous increase in knowledge of the subject taught, demonstrated ability to effectively transmit knowledge to students, demonstrated ability to arouse curiosity in beginning students and to stimulate advanced students to creative work. The candidate's teaching activity may be demonstrated, for purposes of promotion in rank, through the same criteria as identified in Section IV.C. of this document.

2. Criteria for Promotion: Research and Other Scholarly Activity

The candidate should have demonstrated excellence and leadership in research, through original research activities (independent and/or collaborative), and should have demonstrated the capability of directing and conducting original research of high quality. Disciplinary and interdisciplinary, as well as interprofessional, research is valued and will be evaluated. The candidate's research activity may be demonstrated, for purposes of promotion in rank, through the same criteria as identified in Section IV.D. of this document.

3. Criteria for Promotion: Service and Administration

Service may involve many forms of contribution to the University and the broader community including, but not limited to, community engagement, professional practice, University administrative activities, and public policy contributions. The candidate's service activity may be demonstrated, for purposes of promotion in rank, through the same criteria as identified in Section IV.E. of this document.

4. Criteria for Promotion: Community Engagement

Community engagement may involve many forms of interaction between the University and the broader community. Community engagement involves synergistic elements of scholarship, teaching and service in a manner that is difficult to separate into the individual components. This community engagement, nonetheless, may be recognized as an appropriate contribution to the productivity and reputation of the faculty member for purposes of promotion. The candidate's community engagement activity may be demonstrated, for purposes of promotion in rank, through the same criteria as identified in Section IV.F. of this document.

5. Criteria for Promotion: Professional Practice

For candidates who have a practice component to their faculty responsibilities, a distinction in the special competencies and activities of a specific field of professional practice (including general practice) should be recognized and demonstrated as a criterion for promotion. The candidate's practice activity may be demonstrated, for purposes of promotion in rank, through the same criteria as identified in Section IV.G. of this document.

D. Procedures for Initiation or Recommendation for Promotion

Recommendations for promotion may be initiated by any member of the Department faculty for himself/herself or for other members of the Department faculty. A faculty member may request the Promotion & Tenure Committee to remove his/her name from consideration. It is strongly recommended that a faculty member who believes he/she should be considered for promotion discuss this possibility with the Department Head and obtain, if at all possible, the support of the Head for consideration. The Promotion and Tenure Committee will consider all candidates in accordance with the PCHS "Criteria for Promotion in Rank and Rank at Appointment" (Section V. of this document). The Committee's advisory recommendation will be considered in a faculty meeting attended by faculty eligible to vote. Voting will be by secret ballot of all regular (tenured and tenure-track) faculty and faculty with a salaried appointment in the Department of Pharmaceutical Care & Health Systems who hold an academic rank equal to, or higher than, the rank for which a nominee who is being considered for promotion.

E. Documentation of Activities for Consideration in Promotion Decisions

Each faculty member in the Department is responsible for keeping a record of his/her education, research, service, practice, and administration activities. Each faculty member shall provide to the Department Head by the designated date (usually on, or about, January 30 of each year)

appropriate documentation of the faculty member's professional performance for the previous calendar year (January 1 through December 31).

The Department Head is responsible for reviewing the performance of each Department faculty member annually and for meeting with each faculty member to provide feedback on his/her performance. The Department Head shall provide a written summary of his/her review to each probationary faculty member (Form 12). The written annual appraisal (Form 12) shall be made available to, and be discussed with, the probationary faculty member. (See Section III.E. of this document.)

The faculty member's materials to be reviewed shall be compiled into a dossier that is organized as described by the University and may include additional types of materials requested by both the Department and the College, or other material submitted by the candidate. Materials to be submitted shall include, but not be limited to:

1. Letter of Request or Nomination from the faculty member, other faculty in the Department, and/or the Department Head.
2. A Summary Appraisal of the candidate's qualifications by the Department Head including the vote of the eligible Department faculty. In the case of a joint appointment, a similar appraisal and recommendation is made by the secondary department.
3. A Curriculum Vitae which shall indicate the candidate's degrees, honors, professional work experience (academic and otherwise), publications, research, professional affiliations, committees, consultantships, and other types of academic or professional activities.
4. A description of the candidate's education activities shall include, where applicable:
 - a. Current teaching responsibilities including: course titles, credit hours and enrollment, course description, other documentation of teaching activities, and description of teaching and education activities in practice areas.
 - b. Teaching responsibilities during the full period of his/her service on the faculty including professional, graduate and continuing education courses with corresponding titles, course numbers, credits hours, enrollments, and course descriptions.
 - c. The names of graduate students, post-doctoral fellows, and/or residents currently supervised by the candidate, with their degree or career objectives.
 - d. The names of graduate students who have been awarded masters or doctoral degrees, post-graduate fellowship certificates, or residency certificates and who were supervised by the faculty member. The current professional title and work organization, if known, should also be provided for post-graduate students supervised by the faculty member.
 - e. The candidate's faculty status with the graduate program and the Graduate School.
5. Evaluations of the candidate's teaching ability at all levels of professional, graduate and continuing professional instruction offered by the unit and graduate programs, including appropriate peer and student evaluations of the candidate's teaching ability.
6. A description of the candidate's research and scholarly activities which shall include:
 - a. A statement by the candidate of the nature and significance of the candidate's program of original research.
 - b. A summary of all grant support for the last five years and any evidence of potential for additional or continued support of original research.

- c. A complete bibliography in which the candidate identifies those publications for which he/she is the primary author.
 - d. A description of the candidate's responsibilities and/or contributions in collaborative and multi-authored publications and grants.
 - e. A copy of three recent research or scholarly publications that reflect the candidate's most significant accomplishments.
7. Education or research awards, invited participation in symposia, lectures, contributions to textbooks, and other education and research activity shall also be presented. Any special professional honors or recognitions shall also be presented.
 8. The Department Head shall identify the names of persons from outside the College who are at equal or higher rank and who would be in a position to evaluate the candidate's professional standing. *“In gathering outside evaluations of the candidate's contributions to scholarly research and other creative work, the unit should seek appraisals both from persons suggested by the candidate and from other recognized scholars in the field... [A]t least half, and no fewer than four, of the external reviews must be obtained from individuals with no direct professional or personal interest in the advancement of the candidate's career (for example, they should not be former advisors, mentors, co-authors, or co-investigators on previous work.”(Section II.F.4. “Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty.”^a)*
 9. However, candidates may not independently solicit external review letters. The candidate may provide the Department Head with the names of potential external reviewers. The Department requires at least 4 external review letters. None of these external review letters may be from persons affiliated with the University of Minnesota. The candidate may solicit letters of support from other relevant parties, but these may not be used as external review letters.
 10. A description of the candidate's professional practice activities which shall include: a statement by the candidate describing his/her practice including innovations or improvements in drug therapy or patient care services which he/she has developed or instituted, a statement by appropriate peer practitioners from the candidate's area of practice evaluating the clinical competence and contributions of the candidate.
 11. Service to the Department, College and University.
 12. Service to community groups, professional associations, or other professional assistance to public or private agencies.
 13. Service in private businesses engaged in the health care marketplace (e.g., hospitals, managed care firms, pharmaceutical companies, or other private firms in the health care market).
 14. Other materials which the candidate wishes to submit.

^a “Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty.” (University of Minnesota, Administrative Procedure, found at: <http://policy.umn.edu/hr/tenure-proc01#VI>).

VI. Annual Review of Tenured Faculty (Post-Tenure Review)

Annual reviews of tenured faculty and post-tenure review procedures and guidelines for faculty in the Department of Pharmaceutical Care & Health Systems (PCHS) are described in this section. The PCHS process for Post-Tenure Review (PTR) is intended to be consistent with the “*Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty.*”^b The procedures and guidelines for annual review of tenured faculty are presented in Sections VI.A and VI.B. of this document, respectively. The minimum Goals and Expectations for PCHS tenured and tenure-track faculty are described in the Section VI.C. of this document. Criteria for Exceptional Review Status resulting from a Post-Tenure Review are described in Section VI.D. of this document.

Annual reviews of tenured faculty will incorporate the annual Faculty Activity Report (FAR) prepared by each faculty member. The FAR provides data that contributes to the evaluation of productivity by a tenured faculty member. Each faculty member’s reported activities in the FAR will be reviewed for consistency with personal, department, college, academic health center (AHC), and University goals and priorities. This annual review for merit and compensation will be conducted in PCHS by a process defined in Section VI.A. titled, “Annual Review of Tenured Faculty (Post-Tenure Review)” of this document. Each year this FAR will be considered by the Department Head as the major factor for merit and compensation recommendations to the Dean.

PCHS faculty with tenure are expected to continue to perform at, or above, the level expected for their respective rank with respect to education, research, and service as well as practice and administration, if applicable. Another purpose for annual review of tenured faculty is to identify those faculty who are performing substantially below ‘goals and expectations’, and to initiate a process encouraging low-performing individuals to regain academic vitality and productivity at the level expected within the PCHS Department.

A. Annual Review Procedures for Tenured Faculty

An annual faculty activity report (FAR) will be prepared by every faculty member with salary support assigned to PCHS for review at the Department level. These reports will take into account activities related to education, research, service, administration, community engagement, and practice. The review will assess each faculty member’s activities for consistency with personal, department, college, and University goals, expectations, and priorities. The initial review of each individual faculty member’s annual faculty activity report will be conducted by a committee of faculty peers within the Department. The PCHS Peer Review Committee (PRC) will consist of at least 3 members to be elected each year by a vote of all faculty members in PCHS. The Department faculty may choose to have all eligible faculty serve as a ‘committee of the whole.’ The Department faculty may choose to conduct the reviews at a Department meeting specifically for faculty annual presentations and reviews with feedback from all eligible faculty present and voting. Anyone who has been identified as being in ‘substandard or exceptional status’ by the PCHS Peer Review Committee in the previous year and anyone receiving PRC remedial assistance may not serve as an elected member of the PCHS PRC. The review shall be conducted as described in Section VI.B. titled, “Annual Review Guidelines for Tenured Faculty.” The results of the peer review process shall be provided to the PCHS Department Head for consideration in recommending faculty merit recognition and compensation to the Dean.

^b “Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty.” (University of Minnesota, Administrative Procedure, found at: <http://policy.umn.edu/hr/tenure-proc01#VI>).

B. Annual Review Guidelines for Tenured Faculty

The annual faculty activity report (FAR) of each faculty member will be reviewed by a faculty peer-review committee. The criteria for evaluation of faculty members are described in Section VI. titled, “Annual Review of Tenured Faculty (Post-Tenure Review)” of this document. The committee members will independently review each faculty member’s annual faculty activity report and provide a rating for each area in which the faculty member has been active including education, research, service and administration, community engagement, and practice. All faculty must be rated on education, research, and service. For those faculty who are engaged in community engagement, practice, or administration, a rating of these activities will also be provided. For each area of activity to be rated, a rating will be provided on a 3-point scale with 1 being the highest and 3 being the lowest. A rating of ‘1’ will indicate ‘exceeds expectations’; a ‘2’ will indicate ‘meets expectations’; and a ‘3’ will indicate ‘falls below expectations.’ Reviewers assigning a rating of ‘3’ (falls below expectations) must provide specific written comments which will be shared with the person being reviewed, the PCHS Department Head, and the Dean of the College of Pharmacy. Each year the ratings and any related comments for each faculty member will be provided by the PRC to the individual faculty member, the PCHS Department Head, and the Dean of the College of Pharmacy.

The rating in each activity area will take into account the stated goals and objectives of the faculty member, as well as the goals of the Department, the College, the AHC, and the University. The annual faculty activity reports and the respective ratings will be provided to the PCHS Department Head for review and evaluation. The PCHS Department Head will also provide a rating on the same 3-point scale. The peer-review ratings and the Department Head’s ratings of individual faculty members based on their respective Faculty Activity Reports may be considered by the PCHS Department Head when making recommendations to the Dean of the College of Pharmacy regarding special merit or other compensation matters.

C. Department Minimum Goals and Expectations of Tenured Faculty

The Department of Pharmaceutical Care and Health Systems (PCHS) has minimum ‘goals and expectations’ for tenured faculty which contribute significantly to the missions of the Department, the College of Pharmacy, the Academic Health Center, and the University of Minnesota and to their respective programs of education, research, and service. The primary criteria for demonstrating contribution to these ‘goals and expectations’ will be effectiveness in two core activity areas: (1) teaching and other educational activity, and (2) research and other scholarly activity. *Each faculty member must meet the minimum goals and expectations in all activity areas performed and must exceed goals and expectations in one of the two core activity areas-- education or research and scholarly activity.*

1. Goals and Expectations: Teaching and Other Educational Activity

Consistent with its mission, a goal of the Department of Pharmaceutical Care & Health Systems is to provide excellent professional and graduate education. Tenured faculty may be viewed as ‘falls below goals and expectations’ if their teaching effectiveness is perceived to be substantially below others as evidenced by: consistently weak or poor student and peer evaluations of classroom teaching; consistently poor exit evaluations by professional or graduate students; and the absence of contributions to professional or graduate pharmacy education such as those noted in Section IV.C. of this document (e.g., including but not limited to development of a new course or rotation; major revision of a course to meet changing needs; or delivery of a substantial body of material to professional students). The extent of involvement (or lack thereof) in education may be viewed as contributing to a rating of ‘falls below goals and expectations’, but the rating should take into account the faculty

member's other assignments which are meeting various needs within the Department and the College. The faculty member's education activity may be demonstrated, for purposes of goals and expectations, through the same criteria as identified in Section IV.C. of this document.

2. Goals and Expectations: Research and Other Scholarly Activity

Consistent with its mission, a goal of the Department of Pharmaceutical Care & Health Systems is to maintain a program of nationally and internationally recognized scholarly activity. Tenured faculty may be viewed as 'falls below goals and expectations' if there is substantial evidence that they are not maintaining a consistent program of original research and scholarly activity of high quality. Evidence of not meeting expectations would include: absence of article authorship in peer-reviewed journals; absence of funding from external agencies; lack of submission of proposals for funding and/or peer review; lack of contribution to the training and education of graduate students or fellows through effective advising; or absence of other research and scholarly activity such as those noted in Section IV.D. of this document.

3. Goals and Expectations: Service and Administration

Public service is important to the Department, College, and University and related activities must also be considered along with education and research. PCHS faculty are expected to participate regularly in faculty meetings and committee work for the Department and the College, and if called upon to do so, the University. For faculty members with substantial effort in this area, the goals and expectation in other areas (education and research) will be adjusted to account for the relative proportion of time spent in each area. The relevance of service and administrative activities to the missions of the Department, the College of Pharmacy, the AHC, and the University of Minnesota should be assessed. Evidence of the strength and quality of these activities should be provided by the individual faculty member as a part of the annual faculty review of activities. Evidence of not meeting goals and expectations in service and administration would include absence of the types of activities such as those noted in Section IV.E. of this document.

4. Goals and Expectations: Community Engagement

Community engagement is an important function of the Department, College, and University and related activities must also be considered along with education and research. For faculty members with substantial effort in this area, the goals and expectation in other areas (education and research) will be adjusted to account for the relative proportion of time spent in each area. The relevance of community engagement activities to the missions of the Department, the College of Pharmacy, the AHC, and the University of Minnesota should be assessed. Evidence of the strength and quality of these activities should be provided by the individual faculty member as a part of the annual faculty review of activities. Evidence of not meeting goals and expectations in community engagement would include absence of the types of activities such as those noted in Section IV.F. of this document.

5. Goals and Expectations: Professional Practice

Professional practice is important to the Department, College, and University and related activities must also be considered along with education and research. For faculty members with substantial effort in this area, the goals and expectation in other areas (education and research) will be adjusted to account for the relative proportion of time spent in each area. The relevance of practice to the missions of the Department, the College of Pharmacy, the AHC, and the University of Minnesota should be assessed. Evidence of the strength and quality of these activities should be provided by the individual faculty member as a part of

the annual faculty review of activities. Evidence of not meeting goals and expectations in practice would include absence of the types of activities such as those noted in Section IV.G. of this document.

The annual review process helps identify tenured faculty who are performing substantially below the Department's minimum goals and expectations, and to initiate a process encouraging low-performing individuals to regain academic vitality and productivity at the level expected within the PCHS Department. The ratings performed by the faculty peer-review committee and process and by the PCHS Department Head will be the basis for identification of tenured faculty who need special attention due to prolonged performance (over two-years or more) below goals and expectations.

D. Criteria & Procedures for 'Exceptional Review Status' of Tenured Faculty

First, tenured faculty will participate in an annual review process. If a tenured faculty member meets the criteria triggering 'exceptional review status' for alleged substandard performance, the PCHS Department Head will notify the faculty member in writing and will also notify the Dean of the College of Pharmacy.

The criteria for determining if a faculty member's performance does not meet minimum 'goals and expectations' and should be considered as 'substandard' or 'exceptional review status' will be as follows:

1. A rating of '3' by at least a majority of committee members in a single core area for two years in a row;
2. A rating of '3' by at least a majority of committee members in two or more areas in a single year with at least one of the two areas being a core area;
3. A rating of '3' by one-third or more of the committee members and by the PCHS Department Head in a single core area for two years in a row; or
4. A rating of '3' by one-third or more of the committee members and by the PCHS Department Head in two or more areas in a single year with at least one of the two areas being a core area.

E. 'Exceptional Review Status' for Performance Improvement of Tenured Faculty

Any faculty member meeting the 'exceptional review status' criteria will enter into a second review process for the timely remedying of the perceived deficiencies as outlined in Section VI. of the document titled, "*Procedure for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty*".^c (University of Minnesota, Administrative Procedure, found at: <http://policy.umn.edu/hr/tenure-proc01#VI>). At the end of the time period specified for performance improvement (at least one year from the date of notification), the faculty member under review must provide a report describing his or her progress toward meeting the minimum 'goals and expectations' set above. The Department Head and the committee of tenured PCHS faculty will then review the progress that the faculty member has made regarding the recommendations by examining and evaluating the report prepared by the faculty member. If the Department Head and the peer review committee of tenured faculty agree that the faculty member now meets the 'goals and expectations' of the Department, the faculty member returns to the usual process for annual review.

^c *Procedure for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty*", (University of Minnesota, Administrative Procedure, found at: <http://policy.umn.edu/hr/tenure-proc01#VI>).

F. Criteria & Procedures for ‘Special Peer Review’ of Tenured Faculty

If, after an ‘exceptional review process’, it is determined that a faculty member still falls substantially below the minimum ‘goals and expectations,’ then the faculty member will be referred to a third process for a ‘special peer review.’ The PCHS Department will follow the process described in Subsection 7a.3 of the *Faculty Tenure* document titled, ‘Special Peer Review In Cases Of Alleged Substandard Performance.’

VII. Mentoring of Faculty

The PCHS Department recognizes that mentoring is a valuable process for all faculty, and especially for junior faculty. Senior faculty members have a responsibility to provide mentoring to other members of the faculty. Mentoring is defined as “influence, guidance, or direction exerted by a close, trusted, and experienced counselor. A mentor is to be detached and disinterested to some degree, so that he or she can hold up a mirror for the protégé”^d or mentee. The PCHS Department endorses the document titled: *AHC Mentoring Policy* (December 2007). Both the mentor and the mentee are responsible for actively pursuing the mentoring process. The elements of a mentoring plan should be tailored to meet the unique needs of individual faculty members. The basic elements of the PCHS mentoring policy are as follows:

- A. All junior faculty will be expected to participate in a mentoring program. Junior faculty for purposes of the mentoring program will include probationary, non-tenured, tenure-track faculty and contract or other salaried faculty in the Department who are in the first five years after initial appointment as a faculty member.
- B. Each junior faculty member will have at least one designated mentor who will be formally responsible for providing and documenting mentoring activities.
- C. Mentors and mentees are expected to meet at least twice annually for the purpose of discussing career development and progress toward agreed upon goals. An initial career development plan for junior faculty should be developed within the first six months after faculty appointment.
- D. A realistic and written career development plan with specific timelines and quantifiable goals should be developed by the mentor and mentee and this plan should be updated and revised at least on an annual basis. The mentoring plan goals should address the types of activities needed to successfully progress toward promotion and tenure based upon education, research, service, practice, and/or administration.
- E. An annual report of the mentoring activity and the career development plan shall be prepared and signed by the designated mentor and the mentored (junior) faculty member. This annual report of mentoring and the related career development plan shall be provided to the Department Head along with the annual faculty activity report that is completed once each calendar year.

^d Rogers JC, Holloway RL, Miller SM. Academic mentoring and family medicine’s research productivity. *Family Medicine* 22:186, 1990.

VIII. Expiration Statement

This document is the PCHS 7.12 Departmental Statement Required by Section 7.12 of *Faculty Tenure*. A thorough review of this 7.12 document must be undertaken within 10 years after its approval. Upon approval, but for no more than 10 years thereafter, this document and its revisions will be in effect within the Department. Revisions may be made as needed over time and must be approved by a majority of all faculty with a salaried appointment in this Department, except that only tenured and tenure-track faculty are eligible to vote on revisions of the section related to tenure (Section IV. of this document.).