

## **University of Minnesota Department of Pharmaceutics**

Standards for Promotion and Tenure  
Required by Section 7.12, Regents Policy on Faculty Tenure

**Approved by the Faculty of the Department of Pharmaceutics on October 6, 2015**

**Approved by the Senior Vice President for Academic Affairs and Provost  
on October 9, 2015**

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### **I. Introductory Statement**

This document describes the indices and standards that will be used to evaluate whether candidates meet the general criteria for tenure in Section 7.11 of the Regents Policy on *Faculty Tenure* as well as the indices and standards for promotion to the rank of professor as they are set out in section 9.2 of the same Regents policy. For a complete overview, the reader is advised to review Sections 7 and 9 in their entirety. This 7.12 statement is also consistent with the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty*.

### **II. Mission, Goals and Values**

#### **A. Mission Statement**

The mission of the Department of Pharmaceutics is to improve human health through the creation and dissemination of knowledge. The research and teaching programs of the faculty focus on elucidation of the kinetics and mechanisms underlying drug absorption, disposition, and action, the analysis, development and manufacture of new dosage forms and drug delivery systems, and the optimization of drug therapy.

It is also the mission of the Department of Pharmaceutics to encourage development of its faculty to the eventual rank of Full Professor, through outstanding scholarship, teaching, and public engagement. Excellence is encouraged both within the discipline, in collaborative efforts with other disciplines, and in scholarship of teaching of Pharmacy and Pharmaceutics.

## B. Research, Scholarship and Teaching Focus

Pharmaceutics research, scholarship and teaching are grounded in core concepts and principles of pharmaceutics, pharmacology, biochemistry, cell and molecular biology, physiology, mathematics, physics, chemistry and engineering. Consequently, interdisciplinary research and teaching will be valued and evaluated to the same extent as disciplinary research and teaching.

## **III. Annual Appraisals of Probationary Faculty**

### A. Annual Appraisals of Probationary Faculty

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.

In fulfillment of Sections 7.11 and 7.12 and in accord with Section 7.2 of the Board of Regents Policy: *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.*”

All tenure-track faculty members will undergo an annual review each academic year. An academic year is defined in Section 5.3 in the Board of Regents Policy: *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*. A record of the vote, either for continuation or termination, 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 Board of Regents Policy: *Faculty Tenure*, this will be noted on the *UM Form 12* during the annual review.

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.

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 promotion and tenure dossier.

### B. Faculty Mentoring

Probationary Faculty hired by the Department of Pharmaceutics will receive mentoring according to the departmental mentoring policy (see Appendix 1).

### C. Extending the Probationary Period

Probationary faculty have the right to extend the probationary period according to Section 5.5 of the Regents Policy on *Faculty Tenure*. If the probationary period is extended, the evaluation of the probationary faculty will not be adversely affected in future years.

#### **IV. University Standard –General Criteria for Tenure**

Section 7.11 of the Board of Regents Policy: *Faculty Tenure* states:

**7.11 General Criteria.** *What the University of Minnesota seeks above all in its faculty members is intellectual distinction and academic integrity. The basis for awarding indefinite tenure to the candidates possessing these qualities is the determination that each has established and is likely to continue to develop a distinguished record of academic achievement that is the foundation for a national or international reputation or both [FN2]. This determination is reached through a qualitative evaluation of the candidate's record of scholarly research or other creative work, teaching, and service [FN3].*

*The relative importance of these criteria may vary in different academic units, but each of the criteria must be considered in every decision [FN4]. Demonstrated scholarly or other creative achievement and teaching effectiveness must be given primary emphasis; service alone cannot qualify the candidate for tenure.*

*Interdisciplinary work, public engagement, international activities and initiatives, attention to questions of diversity, technology transfer, and other special kinds of professional activity by the candidate should be considered when applicable. The awarding of indefinite tenure presupposes that the candidate's record shows strong promise of his or her achieving promotion to professor.*

*[FN2] "Academic achievement" includes teaching as well as scholarly research and other creative work. The definition and relative weight of the factors may vary with the mission of the individual campus.*

*[FN3] The persons responsible and the process for making this determination are described in subsections 7.3 through 7.6. "Scholarly research" must include significant publications and, as appropriate, the development and dissemination by other means of new knowledge, technology, or scientific procedures resulting in innovative products, practices, and ideas of significance and value to society.*

*"Other creative work" refers to all forms of creative production across a wide range of disciplines, including, but not limited to, visual and performing arts, design, architecture of structures and environments, writing, media, and other modes of expression. "Teaching" is not limited to classroom instruction. It includes extension and outreach education, and other forms of communicating knowledge to both registered University students and persons in the extended community, as well as supervising, mentoring, and advising students.*

*"Service" may be professional or institutional. Professional service, based on one's academic expertise, is that provided to the profession, to the University, or to the local, state, national, or international community. Institutional service may be administrative, committee, and related contributions to one's department or college, or the University. All faculty members are expected to engage in service activities, but only modest institutional service should be expected of probationary faculty.*

*[FN4] Indefinite tenure may be granted at any time the candidate has satisfied the requirements. A probationary appointment must be terminated when the appointee fails to satisfy the criteria in the last year of probationary service and may be terminated earlier if the appointee is not making satisfactory progress within that period toward meeting the criteria.*

## **V. Department criteria for Tenure – Research**

The quality of a candidate's research and the impact of the work within the candidate's professional discipline are the primary criteria by which professional distinction in research is established. Examples of factors upon which an analysis of the research accomplishments of the candidate may be based include, but are not limited to, the following:

- The totality of the candidate's research activities and the candidate's publications in peer-reviewed research journals and research monographs.
- External research funding from sources outside the University, inasmuch as this is a measure of the research skill and competence of the candidate. Candidates are expected to seek external research funding from appropriate sources, and to establish an appropriate funding base for ongoing support of the candidate's research program.
- Presentations at professional conferences, symposia, and meetings, especially those for which participation was by invitation, and seminars at other academic institutions, national laboratories, and industrial laboratories.
- Written evaluations from scientists who are recognized as leaders in the candidate's research area. The department will seek appraisals both from persons suggested by the candidate and from other recognized scholars in the field. As part of the formal tenure review, the candidate will be asked to suggest the names of ten reviewers to the department head.
- If the candidate has a strong interdisciplinary component in his or her research, the department head will solicit letters of evaluation from some reviewers whose research also crosses similar interdisciplinary boundaries.

In evaluating the candidate's research contributions through publications and presentations, the objectives are to establish that the work is of high quality, that it is a scholarly and creative contribution to the candidate's professional discipline, and that it is a measure of the candidate's potential to make continuing contributions in basic and/or applied research.

Other qualifications that the candidate may have acquired and that may be used to establish the candidate's research ability include, but are not limited to, the following examples:

- Election to prestigious national or international organizations that recognize excellence in a discipline.
- Patents, inventions and other such developments of a significant scientific or technological nature.
- Publication of scholarly review articles and research monographs.

## **VI. Department criteria for Tenure – Teaching**

The requisites for determining effectiveness of a teacher include intellectual competence, integrity, independence, enthusiasm, a spirit of scholarly inquiry, a continuous increase in knowledge of the subject taught, an ability to effectively transmit knowledge to students, to arouse curiosity in beginning students, and to stimulate students to do creative work.

The evaluation of teaching will be based on:

1. The candidate's success in attracting, teaching and advising graduate students and/or postdoctoral fellows. These contributions can be demonstrated by any of the following:
  - a. Student or postdoctoral co-authorship of publications and abstracts.
  - b. Advising to completion of MS and PhD dissertation research.
  - c. Participation in graduate course teaching, including new course development, serving as course director, and development of course material.
2. The candidate's overall teaching ability as perceived by the students in the professional pharmacy program and documented by their responses on formal student ratings of teaching for each course.
3. The candidate's teaching competence as determined by peer evaluation of teaching as outlined in the department's guidelines for peer evaluation of teaching (see Appendix 1).
4. The candidate's contributions to education as demonstrated by any of the following:
  - a. Developing a new course or substantially revising an existing course in the professional pharmacy program.
  - b. Receiving an educational development grant or directing an experimental educational program.
  - c. Development and/or teaching of interdisciplinary and/or interprofessional courses for graduate, professional, or undergraduate students.
  - d. Authoring or co-authoring a textbook or a chapter in a textbook.
  - e. Participating as an invited contributor in a national symposium or workshop on education.
  - f. Publishing an article on topics relating to education.
  - g. Developing and presenting continuing education program(s).
  - h. Receiving a teaching award.

Any of the candidate's contributions listed above must be judged by peer review as scholarly and of high quality and significance.

## **VII. Department criteria for Tenure – Service**

A record of service will strengthen the recommendation for tenure. Recognition will be given to faculty who make service contributions to the Department, the College of Pharmacy, student organizations, the Academic Health Center, the University, government agencies, and scientific and professional organizations. Recognition will also be given for discipline-related outreach and contributions to the local, state, national and international community. However, probationary faculty are expected to maintain service records per subsection 7.11 of the tenure policy.

Criteria for promotion to Associate Professor are the same as those for tenure. Candidates shall also demonstrate the potential for adding substantially to their record of academic achievement in order to be promoted to the rank of Professor.

## **VIII. University Standard – Criteria for Promotion to Professor**

### **Regents Policy on *Faculty Tenure*, Section 9.2, Criteria for Promotion to Professor**

The basis for promotion to the rank of professor is the determination that each candidate has (1) demonstrated the intellectual distinction and academic integrity expected of all faculty members, (2) added substantially to an already distinguished record of academic achievement, and (3) established the national or international reputation (or both) ordinarily resulting from such distinction and achievement [FN8]. This determination is reached through a qualitative evaluation of the candidate's record of scholarly research or other creative work, teaching, and service [FN9]. The relative importance of these criteria may vary in different academic units, but each of the criteria must be considered in every decision. Interdisciplinary work, public engagement, international activities and initiatives, attention to questions of diversity, technology transfer, and other special kinds of professional activity by the 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.

#### **Regents Policy on *Faculty Tenure*, Footnotes to Section 9.2**

[FN8] "Academic achievement" includes teaching as well as scholarly research and other creative work. The definition and relative weight of the factors may vary with the mission of the individual campus. Not being promoted to the rank of professor will not in itself result in special post-tenure review of a tenured associate professor.

[FN9] The persons responsible for this determination are the full professors in the unit who are eligible to vote. The outcome of the vote is either promotion to the rank of professor or continuation in rank as an associate professor. The procedures for voting are identical to those 9 outlined in Section 7.4 for the granting of indefinite tenure, the nondisclosure of grounds for the decision (Section 7.5), and the review of recommendations (Section 7.6). In addition, a petition to the Judicial Committee for review of a recommendation of continuation in rank as an associate professor follows the procedures specified in Section 7.7 for decisions about promotion to associate professor and conferral of indefinite tenure.

## **IX. Departmental Criteria for Promotion to Professor**

All associate professors are expected to work toward promotion to the rank of professor (See Section 7.11 of the Regents Policy on Faculty Tenure). Promotion to Professor indicates the attainment of distinction within one's field and the highest academic achievement. Promotion to this rank is based on attaining an international scholarly reputation through significant post-tenure publication and/or creative achievements in the individual's area of specialization, continued effective teaching and contributions to instruction, and continued effective service to the department, college, University, and profession.

### **Relevant Forms of Evidence**

The forms of evidence used to justify promotion to professor are the same as those used to justify promotion to associate professor in the areas of research, teaching, and service. A higher level of achievement in all three domains, as measured by the distinction, significance, and impact of the research work, teaching, and service, is required. Regular, high-quality teaching and advising of M.S. and Ph.D. students and postdoctoral scientists in addition to professional instruction and advising of professional

students, is expected. Service contributions to the department, college, University, and profession should be substantial and significant.

## X. Review of Tenured Faculty Performance

### Introductory Statement

This section is an implementation of the Regents Policy on Faculty Tenure (Section 7a), and in accordance with the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty*.

**Principles:** The goals and expectations with regard to research, teaching, and service for tenured faculty members will be consistent with those used in the granting of tenure, but may take into account the different stages of professional development of faculty. It is recognized that, at various stages of academic careers, a faculty member's activities in certain areas (i.e., teaching or research) may be predominant. However, all tenured faculty must remain active in all three areas listed below. Within any given period of three years, tenured faculty should normally be able to exhibit satisfactory performance in at least two of the three areas.

## A. TEACHING

### Satisfactory

- a. Perform the assigned teaching responsibilities with satisfactory performance based on course evaluations by students and/or peers. This requirement may be relaxed if a course is taught for the first time by the faculty member for the year under review.
- b. Routinely accept all responsibilities associated with serving on preliminary written, preliminary oral, and final oral examination committee(s) for graduate students and honors or senior thesis committees of professional students.

### Outstanding

Must meet the criteria for satisfactory and must meet one or more of the following criteria:

- a. Outstanding teaching of courses as defined through course evaluations by students and/or peers.
- b. National leadership in shaping the curriculum within a discipline.
- c. Authoring or editing of new educational media or instruments (e.g., textbook, video, computer software) that are distributed nationally.
- d. Principal Investigator (PI) in the year of acquisition or renewal of a training grant (e.g., NIH).
- e. Recipient of a teaching award.
- f. Successfully developing and implementing a new course.
- g. Successfully developing and implementing major improvements to an existing course.
- h. Authoring one or more papers in a peer-reviewed journal focused on education.
- i. Member of a committee that significantly impacts education at the campus level.
- j. Additional outstanding contributions to teaching approved by the department head.

## B. RESEARCH

### Satisfactory

- a. Must have (i) a **record of regular publication** in recognized peer-reviewed journals related to pharmaceutics and (ii) regular submission of grant/contract applications as Principal Investigator or Co-Principal Investigator and must meet two or more of the following criteria:
  - b. Inventor on one or more patent applications.
  - c. PI or Co-PI on a nationally competitive research grant.
  - d. Co-Investigator on two or more nationally competitive research grants.
  - e. PI or Co-PI on a grant from industrial or private sources.
  - f. Advisor to one or more graduate students or postdoctoral fellows.
  - g. Advisor to one or more graduate students who complete the requirements for a Ph.D. in the year under review.
  - h. Organizer or co-organizer of a symposium at local, national, or international meetings.
  - i. Invited speaker at a national or international meeting, invited seminar speaker at colleges, universities, companies, or national laboratories.
  - k. Other significant research contributions approved by the Department Head.

### **Outstanding**

Must meet the criteria for satisfactory and

- a. Be an author of **multiple research publications** in journals of high quality, and must meet four or more of the following criteria:
  - b. PI or co-PI on multiple substantial grants/contracts.
  - c. Adviser to three or more graduate students or postdoctoral fellows.
  - d. Multiple invited talks at prominent national or international meetings.
  - e. Multiple invited seminars at colleges, universities, companies, and national laboratories.
  - f. Organizer or co-organizer of symposia at national or international meetings.
  - g. Recipient of awards in the discipline of pharmaceutics, broadly viewed.
  - h. Principal Investigator in the acquisition of new research funds that contribute to a program that extends beyond the research of an individual's laboratory [e.g., a program project grant, center grant (local or national), or shared instrumentation grant].
  - i. Author or co-author of a monograph in the discipline of pharmaceutics, broadly viewed.
  - j. Publication of a research article in a very high impact journal.
  - k. Other outstanding research contributions approved by the department head.

## **C. SERVICE**

### **Satisfactory**

Must meet two or more of the following criteria:

- a. Member of a major (University- or College-wide) committee.
- b. Chair or member of one or more college committee(s).
- c. Organizer of, or contributor to, an outreach activity.
- d. Reviewer of scholarly articles and grant proposals written by others.
- e. Member of one or more journal editorial advisory boards.
- f. Other significant service contributions approved by the department head.

### **Outstanding**

Must meet the criteria for satisfactory and must serve effectively in the role of two or more of the following:

- a. Director of Graduate Studies.
- b. Director of a Multi-Investigator Center with steady external funding.
- c. Acquirer of major funding for an outreach program.

- d. Chair of a major University committee.
- e. Editor or Associate Editor of an internationally recognized journal.
- f. Chair or member of a national committee.
- g. Officer in a scientific society or division thereof.
- h. Permanent member (multi-year term) on a national grant agency review panel.
- i. Other outstanding service contributions approved by the Department Head.

### Process

1. Annually, faculty members will submit to the department head a summary of their activities in research, teaching, and service for the past year and their proposed plans for work during the coming year.
2. The department head will meet with each tenured faculty member to discuss past performance and future plans. This meeting will constitute the faculty member's annual review for meeting the unit's goals and expectations as well as for merit review.
3. If the department head concludes that a faculty member's performance is substantially below goals and expectations, the case will be referred to the Post-Tenure Review Committee. If this committee and the department head agree that the faculty member's performance is substantially below goals and expectations of the department, they shall advise the faculty member in writing, including suggestions for improving performance, and establish a time period (of at least one year from the date of the letter) within which improvement should be demonstrated.
4. If, at the end of the time period for improvement described in the previous paragraph, a tenured faculty member's performance continues to be substantially below the goals and expectations of the Department and there has not been a sufficient improvement of performance, the head and the Post-Tenure Review Committee may jointly request the dean to initiate a special peer review of the faculty member.
5. The Post-Tenure Review Committee will consist of all tenured faculty members in this Department.

### **XI.   Expiration Statement**

The Dept. of Pharmaceutics 7.12 Statement will expire 7 years from the date of its approval. A committee of tenured faculty will review and, if necessary, update the 7.12 document in accordance with the Regents Policy on *Faculty Tenure*. Tenured and tenure-track faculty members will be eligible to vote to approve the 7.12 document.

## **APPENDIX 1**

### **Peer Evaluation of Teaching**

## **APPENDIX 2**

### **Mentoring Policy Department of Pharmaceutics Approved by the Pharmaceutics faculty**

The following Pharmaceutics Mentoring Plan comprises procedures and guidelines used by the Department to implement its mentoring policy for junior faculty.

#### **Overview**

Every new faculty member hired at the rank of Instructor or Assistant Professor, tenure-track or nontenure-track, will be assigned one or more mentors. There will be at least one Pharmaceutics senior faculty member on the mentoring team. The Department Head will not typically be one of the formal mentors but will serve as a mentor in the capacity of the department head role. If a junior faculty member is awarded a mentored career development grant or similar award, the composition of the Pharmaceutics formal mentoring plan will be individualized to avoid redundancy.

#### **Mentoring Plan**

The mentoring plan consists of the following components:

1. **Mentor selection.** The mentor(s) will be selected consensually by the mentor(s) and mentee. Either can terminate the relationship at any time. In this event, it is the responsibility of the mentee to notify the Department Head in order to facilitate replacement of the mentor.
2. **Meetings.** The mentee and mentor(s) will meet formally at least twice annually and document the content of the discussions as meeting notes. Additional, informal meetings are strongly encouraged. The mentoring process will be discussed annually with the Department Head by the mentee during the annual review.
3. **Career Development Plan.** During the first six months of the mentee's appointment, a career development plan will be developed with the mentor(s). This plan will be evaluated annually and revised biannually, depending upon prior successes and revised assessments of how to achieve future goals. The career development plan will have specific timelines and quantifiable goals that include the following items:
  - a. *Research projects.* Mentees should plan for diversity in their research interests to avoid the cyclical effects of research sponsor priorities, economic cycles, and the unpredictable nature of research itself.
  - b. *Teaching.* A plan to document the types of teaching developed, and peer and student review of teaching will be developed.
  - c. *Grants.* A plan and timeline for types of grants and career development awards will be established. This should include plans for submission of new grants and revision and resubmission of unsuccessful applications.
  - d. *Publications.* Goals for the number and types of publications, including strategies for accomplishing these goals.
  - e. *Professional development.* A plan to obtain additional skills and experiences needed for further development, such as grant writing seminars, teaching techniques and skills, residence in an outside lab to acquire a new technique, journal reviewer activities, and becoming a member of study sections.

- f. *Graduate student and postdoctoral trainee advising.* A discussion of strategies and skills to train and advise graduate students and postdocs.
  - g. *Service.* A discussion of what level of service activities are expected, and identification of areas of interest at the Departmental, College, University, and national levels.
4. **Accountability.** The mentor(s) and mentees will document their mentoring activities so that department heads, deans, and senior university officials can ascertain that all eligible faculty are receiving and benefiting from mentoring. Reports of mentoring activities will be used for annual faculty reporting, preparation of the appraisals of probationary faculty, promotion dossiers, and other departmental or collegiate reports.

## **APPENDIX 3**

Subsection 7.12. Departmental Statement [FN5]. Each department or equivalent academic unit must have a document that specifies (1) the indices and standards that will be used to determine whether candidates meet the threshold criteria of subsection 7.11 ("General Criteria" for the awarding of indefinite tenure); (2) the indices and standards that will be used to determine whether candidates meet the threshold criteria of subsection 9.2 ("Criteria for Promotion to Professor"); and (3) the goals and expectations to be used in evaluating faculty members' performance under subsection 7a ("Review of the Performance of Faculty Members"). The document must contain the text and footnotes of subsections 7.11 and 9.2, and must be consistent with the criteria given there but may exceed them. Each departmental statement must be approved by a faculty vote (including both tenured and probationary members), the dean, and other appropriate academic administrators, including the senior vice president for academic affairs and provost. The chair or head of each academic unit must provide each probationary faculty member with a copy of the Departmental Statement at the beginning of the probationary service. [INTERP 3]

[FN 5] "Departmental" refers to an academic department or its equivalent, such as division, institute, or unit.

[INTERP 3] Please see Regent's Policy on *Faculty Tenure*