

**University of Minnesota**  
**College of Pharmacy, Duluth**  
**Pharmacy Practice and Pharmaceutical Sciences (PPPS)**  
**Department's Statement Required by Section 7.12 of**  
**the Regents Policy on *Faculty Tenure***

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**I. Introduction**

This document specifies the criteria and procedures that will be used to evaluate candidates for their tenure, promotion, or continuation as faculty members with appointments in the Department of Pharmacy Practice and Pharmaceutical Sciences (PPPS) according to the Regents Policy on *Faculty Tenure*. The criteria, standards and procedures are applied without regard to race, religion, color, sex, national origin, handicap, age, veteran status, or sexual orientation. This document describes indices and standards for the following personnel evaluations:

- A. Recommendation for awarding indefinite tenure according to the Regents Policy on *Faculty Tenure*, Section 7.11. For a complete perspective, the reader is advised to review Section 7 of the tenure regulations.
- B. Recommendations for promotion in rank and standards for assistant, associate and full professors according to Sections 6 and 9.2 of the tenure regulations.
- C. Annual performance appraisal of progress toward achieving tenure for probationary faculty.
- D. Annual performance appraisal for tenured faculty according to Section 7a of the Regents Policy on *Faculty Tenure*.

This document also describes the procedures that assure that the department complies with the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty*

## **II. Mission Statement and Values**

- A. The Department of Pharmacy Practice and Pharmaceutical Sciences (PPPS) provides outstanding education, excellence in research, and service to the public and other health professions. The department is attentive to rural health care issues; the provision of pharmaceutical care in rural and tribal communities; and supportive of basic, clinical, and practice research within its greater Minnesota community.
- B. It is expected that those faculty who receive indefinite tenure and are promoted to the rank of Associate Professor will show strong promise for achieving promotion to the rank of Professor.
- C. PPPS research, scholarship, and teaching are grounded in core concepts and principles of pharmacy practice and pharmaceutical sciences. Consequently, interdisciplinary and interprofessional research and teaching will be valued and evaluated to the same extent as disciplinary research and teaching.

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

- A. Faculty Mentoring  
Probationary faculty hired by the Department of Pharmacy Practice and Pharmaceutical Sciences will receive mentoring according to the departmental mentoring policy.
- B. Department Procedures  
The review for continuation of appointment of tenure-track faculty shall be conducted during years one through six of the probationary period (an Academic Year is defined in the Regents Policy on *Faculty Tenure* (Section 5.3)).

Documentation will be prepared by the faculty member under consideration and the department head. It is the responsibility of each faculty member to keep a record of his/her teaching, scholarly activity and service. The documentation shall include copies of annual evaluations and related materials and the faculty member's current curriculum vitae. It is the responsibility of the department head to request each faculty member to update, each year, this documentation of the faculty member's professional performance for the previous calendar year. It is also the responsibility of the department head to review the performance of each department faculty member annually and enter a summary of this review as part of the documentation. The written annual appraisal shall be made available to, and be discussed with, the candidate by the department head and recorded on University of Minnesota (UM) Form 12. This annual review is signed by the probationary faculty member and the department head.

The department's Promotion and Tenure Committee (PTC) will conduct a review annually to assess the candidate's progress. The PTC will make recommendations

to the department faculty concerning continuation of appointment. All tenured members of the department faculty who hold appointments of higher rank may vote, by secret ballot, on the recommendation for continuation of appointment. Eligible faculty from a department other than PPPS may join the department's PTC as a voting member when the candidate and the department's PTC explicitly approve. The Senior Vice President for Academic Affairs and Provost must approve the addition of other voting faculty.

A tenure-track appointment shall be continued only after the department's PTC and the faculty who hold tenure have voted on the recommendation for continued appointment.

Appointment to associate professor may be granted at initial hiring. The vote to grant tenure shall be a separate vote and may or may not be conducted at the time of initial hiring.

C. Joint Appointments

Faculty members who hold dual (joint appointments) and whose appointment home is in the Department of Pharmacy Practice and Pharmaceutical Sciences will be reviewed according to the procedures described in *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty*.

D. Extending the Probationary Period

Probationary faculty have the right to extend the probationary period according to Section 5.5 of the tenure regulations. When considering the record of probationary faculty who have extended the probationary period, criteria for promotion and tenure are no different than the criteria for those who do not have an extension to their probationary period

**IV. Conferral of Indefinite Tenure**

Criteria for Tenure: Section 7.11 of the Regents Policy on *Faculty Tenure*

**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.

A. Teaching (Professional and Graduate)

The requisites for effectiveness of a teacher include intellectual competence, integrity, independence, leadership, collaboration, enthusiasm, a spirit of scholarly inquiry, and 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 advanced students to creative work. Evaluation of effectiveness of teaching will include peer/faculty evaluation of teaching, classroom performance, curriculum materials, educational development activities, and student evaluation. The evaluation of effectiveness of teaching will be based on the following:

1. The candidate's overall teaching ability as perceived by pharmacy student pharmacists and residents and documented by their responses on periodic student rating surveys in a course in which the candidate is an instructor.
2. The candidate's teaching competence as determined through teaching evaluations by other faculty and/or comments of peers of equal or higher rank in team taught courses or through peer review.
3. The candidate's contributions to education may be demonstrated by, but not limited to, any of the following:
  - a. Developing a new course, new experiential education experience, new lab exercises or experiences, or revising an existing course.
  - b. Receiving an educational development grant or directing an experimental educational program.
  - c. Publishing a review article of an educational nature in a professional journal.
  - d. Authoring or co-authoring a chapter in pharmacy, medicine, discipline-specific or health care related textbook.
  - e. Participating as an invited contributor in a national symposium or workshop on some aspect of science health care education.
  - f. Publishing an article on subjects relating to science or health care education.
  - g. Developing and presenting a continuing education program(s).
  - h. Receiving a recognized teaching award.
  - i. Developing or adapting a course for delivery using technology enhanced learning.
  - j. Developing a certificate program or other form of advanced professional education.
  - k. Developing a residency or fellowship program.

The candidate's contributions to teaching must be judged by peer review as having academic character and consisting of high quality.

#### B. Research and Other Scholarly Activity

1. The purpose of this evaluation is to determine whether or not the candidate has demonstrated leadership in research, either through independent, interprofessional, or collaborative research activities, and is capable of directing and conducting research of high quality.
2. External reviewers shall provide written comments to evaluate research of candidates for tenure. The candidate and the department head shall each make a list of possible reviewers who are at higher rank than the candidate and who would be in a position to evaluate the candidate's professional standing. The candidate may delete up to one-third of the names on the department list. The

department shall choose an equal number from each list (excluding the names deleted by the candidate) for external reviewers. These reviewers must be external to the University of Minnesota and its affiliated institutions. The number of external reviewers should be eight with a minimum of four reviewers with no professional interest in the career of the candidate.

3. The candidate will be evaluated to determine if she/he has achieved the following standards:
    - a. Publications  
The candidate is an author of original research published in peer-reviewed journals. Non-peer reviewed articles of significant impact may also be considered. The candidate must demonstrate substantial contributions toward the initiation, conduct, and reporting of this research. Publications resulting from work as a student or a post-doctoral fellow may also be considered in evaluating the candidate's research productivity. In multi-authored articles, the contribution of the candidate should be specifically described and evaluated.
    - b. Research Funding  
The candidate has secured funding from sources outside the University to support his/her independent or collaborative research efforts. The candidate shall 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 shall have gone through a peer-review process that evaluates the quality of the work.
    - c. Training of Advanced Degree Professionals  
The candidate has demonstrated the ability to train advanced degree professionals as evidenced by advising/mentoring in a post-doctoral research training program or advising of graduate students. This may also include advanced training of undergraduate students, professional students, professionals in an ongoing residency or fellowship program, or advising such residents and fellows.
    - d. 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 scientific and professional meetings, receiving recognition awards (e.g., career development, new investigator), serving on national review committees and editorial boards and election to prestigious national organizations that recognize excellence in the discipline, or invited participation in legislative, regulatory, or public policy processes.
- C. Service, Practice, and Administration
1. Public service, professional practice, and University administrative activities must also be considered along with teaching and scholarship, which are the two primary areas for tenure. A strong record of service, practice, and administration is valued and will be given proportionate consideration and

strength in the evaluation of a faculty member for tenure, but is not considered as the primary area for tenure evaluation.

## **V. Appointment and Promotion**

### Assistant Professor

Appointment to Assistant Professor requires that a candidate possesses a terminal degree in their field (e.g., a Ph.D. for research-based disciplines or a Pharm.D. for practice-based disciplines) and has demonstrated a capacity for teaching and independent research or scholarly activity and, where appropriate, innovative pharmacy practice.

### Associate Professor:

The criteria for promotion to the rank of Associate Professor are the same as used for conferral of indefinite tenure.

### Professor

Promotion to the rank of Professor implies advanced academic maturity and requires evidence that the candidate has added substantially to his or her already distinguished record of research and teaching achievement and recognition as a national and international authority. Excellent performance in both teaching and research is required with superior performance in at least one of the two. Excellent performance in service or practice is required as well but alone cannot outweigh teaching and research.

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

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 [FN7]. This determination is reached through a qualitative evaluation of the candidate's record of scholarly research or other creative work, teaching, and service [FN8]. 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.

[FN7] "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.

[FN8] 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 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.

## **VI. Annual Review of Tenured Faculty**

The department process for the annual review of tenured faculty is intended to be consistent with Section 7a of the Regents Policy on *Faculty Tenure* and the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty*.

### **A. Criteria for Maintaining Tenure**

In accordance with Section 7a.1 of the Regents Policy on Faculty Tenure, the Department of Pharmacy Practice and Pharmaceutical Sciences (PPPS) has established general goals and expectations for tenured faculty. Below are the specific goals and expectations for PPPS department faculty. These goals and expectations are similar to the criteria for tenure and promotion to associate professor and promotion to professor. Tenured faculty are also expected to participate actively in advancing the interests of the department, the College, and the University for the benefit of the institution, the pharmacy profession, and the biomedical research communities.

Satisfactory performance in teaching, research and service are expected of all tenured faculty members in the Department. The goals and expectations for performance of tenured faculty for teaching, research, and service in the Department are as indicated in the examples provided within this section. Tenured faculty must continue to demonstrate excellence in two of the three areas (research, teaching, and service). The distribution of effort among these three spheres of academic activity may vary by individual and over time during the course of a faculty member's career. For example, a tenured member of the faculty may sometimes assume administrative or committee duties that have the potential of diminishing the time available for research and teaching. Some members of the faculty may at some stages of their careers legitimately devote relatively more effort to teaching and service than to research or vice versa. The department and college should nurture and benefit from the special strengths

brought by each individual member of the faculty while not losing sight of the overall responsibilities and obligations that tenure confers upon all members of the faculty. If a faculty member has reached an agreement with the department head about a different mix of goals and expectations, that should be recorded in a memorandum of understanding so that the annual review of that faculty member reflects his/her expected performance, as required in the *Procedures*.

Further, all tenured faculty members are expected to continue to make contributions according to their current effort distribution among research, teaching and service that are agreed upon in annual discussions between the faculty member and their Department Head. A significant contribution is expected in areas in which the most effort is allocated.

To facilitate this review, the faculty member prepares an updated curriculum vitae, completes the required and annual faculty activity report (FAR), and provides a list of goals. Also, the faculty member meets individually with the head of the unit, the Department Head, or both to discuss his/her accomplishments of the preceding year, and goals for the upcoming year.

The goals and expectations for performance of tenured faculty for teaching, research, and service in the Department are shown here. Tenured faculty must demonstrate excellence in two of the three areas (research, teaching, and service).

### **Research**

A tenured faculty is expected to pursue an active agenda of research in their area(s) of academic specialization. While the extent and nature of research activity may vary over time, within any given period of three years, tenured faculty should report at least two substantial accomplishments within one or more of the following categories:

- An independent or active collaborative role in a research program or programs;
- Refereed or invited research presentation(s) at a scholarly conference or another academic institution;
- Organization or active participation in a scholarly conference, symposium, workshop, or panel;
- Evidence of grant submissions to support research efforts;
- Publication or submission of research articles, case studies, and/or research reviews in refereed biomedical, pharmaceutical, or area-specific scientific journals;
- Publication of scholarly books, book chapters, review articles, and postings to websites or other non-refereed venues.
- Mentoring graduate students, post-doctoral fellows, residents, or other faculty in their research.

## **Teaching**

Tenured faculty are expected to remain effective teachers and to be actively engaged in communicating knowledge and in supervising, mentoring, or advising students, in compliance with collegiate and University policies. While the extent and nature of teaching activity may vary over time, tenured faculty should report at least two substantial accomplishments within one or more of the following categories:

- Teaching on basic science, clinical, research, or other educational topics, including graduate education, as assigned by the Department Head in light of department and collegiate curricular needs;
- Precepting residents, students, or post-graduate students at all levels in specialized academic or research rotations.
- Maintaining effectiveness in teaching as demonstrated by teaching innovations, student evaluations, and peer review of teaching, including peer review of syllabi and other course materials;
- Scholarship in teaching and learning as evidenced by publication of scholarly articles, book chapters, or submission of educational grant proposals;
- Advising and mentoring students, residents, graduate students, and postdoctoral fellows;
- Instructional development that leads to products (e.g., textbooks, published manuscripts, instructional videos, instructional software);
- Evidence of active participation on department, university, or other committees;
- Educational outreach activities related to the faculty member's scientific or professional expertise.

## **Service/Outreach**

Service/Outreach: We recognize that service and outreach are not the primary criteria on which the tenure decision rests. Given the nature of the department and its mission, however, we expect that faculty holding indefinite tenure will engage in mission-related service and mission-driven outreach activities that both build on and take advantage of the strength of the College and its faculty. The minimum expectation is that evidence of mission-related service or outreach will be documented in the annual report of activities. Tenured faculty are expected to perform service within the department, the college and university, and in her or his scholarly discipline, although the extent and types of service performed may vary over the course of a career. While the extent and nature of service activity may vary over time, tenured faculty should report at least two substantial accomplishments within one or more of the following categories:

- Active departmental, collegiate or University leadership or administration;
- Election or appointment to standing or ad hoc committees of the department, college, or University;

- Reviewing or editing scholarly articles, book manuscripts, and grant proposals written by others, serving on Journal editorial boards or grant review panels;
- Presiding over paper presentation or platform sessions at conferences;
- Active service as an office holder or committee member for relevant professional organizations;
- Outreach activities related to the faculty member's scientific and professional expertise with clear benefit to the department, College or University;
- Providing patient care in university affiliated or department-assigned practices;
- Receipt of national or international awards or honors.

#### B. Process

1. Annually, faculty members will submit to the department head a summary of their activities in teaching, research and scholarship, and service for the previous calendar year and their proposed plans for work during the coming year, relative to the goals and expectations for tenured faculty.
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 merit, compensation, and performance relative to the goals and expectations for tenured faculty. The department head will adhere to the requirements and criteria for each of these processes as approved by the faculty.

#### C. Below Standard Performance

1. If the department head concludes that a faculty member's performance is substantially below the goals and expectations of the unit, the case will be referred to the Post-Tenure Review Committee (comprised of all tenured faculty members in the department). If two-thirds of 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. This letter must be signed by the department head and the chair of the Post-Tenure Review Committee.
2. 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 department head and the Post-Tenure Review Committee may jointly request the dean to initiate a special peer review of the faculty member according to subsection 7a.3 of the tenure regulations.

## **V. Expiration Statement**

The Department of Pharmacy Practice and Pharmaceutical Sciences 7.12 Statement will expire seven (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 University regulations. All faculty members, both tenure-track and tenured, will be eligible to vote to approve the 7.12 document.

Adopted by Department of Pharmacy Practice and Pharmaceutical Sciences (PPPS) on July 17, 2013.  
Approved by the Senior Vice President for Academic Affairs and Provost on July 28, 2013.