

University of Minnesota
Department of Experimental and Clinical Pharmacology (ECP)
Statement Required by Section 7.12 of Regents Policy on *Faculty Tenure*

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Table of Contents		Page number
1.	Introduction	2
2.	Mission and Vision of Experimental and Clinical Pharmacology	2
3.0	Conferral of Indefinite Tenure	2
3.1	General Criteria for Conferral of Indefinite Tenure (<i>Faculty Tenure, Section 7.11</i>).	2
3.2	Promotion to Professor (Section 9.2)	3
3.3	Appointment to Associate Professor or Professor	4
3.4	Department of Experimental and Clinical Pharmacology Criteria for Promotion and Tenure	4
4.0	Procedures for Annual Performance Review of Probationary Faculty	11
4.1	Judging Progress Toward Tenure	12
4.2	Mentoring	12
4.3	Joint Appointments	12
5.0	Probationary Period	12
5.1	Extending the Probationary Period	12
5.2	Tenure at Appointment	13
6.0	Preparation of Tenure/Promotion Documentation	13
6.1	External Letters	13
6.2	Other Letters	13
7.0	Review and Promotion of Tenured Faculty	14
7.1	Statement of Goals and Expectations for Tenured Faculty	14
7.2	Minimum Performance Expectations	14
7.3	Procedures for the Annual Review of Tenured Faculty	15
7.4	Promotion to Associate Professor and Professor	16
8.0	Expiration and schedule for revision	17

1. Introduction

This document describes the indices and criteria to be used to evaluate candidates for appointment, continuation, promotion, and tenure among the regular faculty of the Department of Experimental and Clinical Pharmacology (ECP), as specified in subsection 7.11 (General Criteria) and subsection 9.2 (Criteria for Promotion to Professor) of the Regents' Policy on *Faculty Tenure*. This document describes with more specificity the indices and standards that will be used to evaluate whether candidates meet the general criteria in *Faculty Tenure* Section 7.11. In accord with Section 7a (Review of Faculty Performance), this document includes the criteria for annual reviews of all regular faculty, promotion to Associate Professor and Professor (Section 9.2 of *Faculty Tenure*) and goals, performance expectations and procedures for annual review of tenured faculty (Section 7a of *Faculty Tenure*).

Procedures for annual review, described in the *Departmental Annual Review of ECP Faculty - Policy and Procedures*, were developed to ensure compliance with the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-track and Tenured Faculty* of the Regents' Policy on *Faculty Tenure*. Readers are directed to the Regents' Policy on *Faculty Tenure* and the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-track and Tenured Faculty* for a complete overview of the promotion and tenure process at the University of Minnesota. Sections of the Regents' Policy on *Faculty Tenure* and the *Procedures for Reviewing Candidates* documents are included in this document, and these are indicated by placement within quotation marks or footnotes.¹

All tenured faculty members of ECP are expected to participate fully in tenure and promotion reviews, including reviews of probationary and clinical faculty. Full participation includes reading files, participation in review sessions, and voting.

2. Mission and Vision

The *mission* of the Department of Experimental and Clinical Pharmacology (ECP) is to discover, disseminate, and apply new knowledge related to safe, effective, and economical medication use.

It is our *vision* that ECP faculty and staff will educate pharmacy students, post-graduate trainees and others for careers in pharmacy and health care with the ultimate *goal* of improving health. The ECP faculty and staff will actively engage in the teaching and conduct of experimental pharmacology, clinical pharmacology, and patient outcomes research to identify and promote use of the best therapies. The ECP faculty and staff will strive to advance the science of human pharmacology and therapeutics, while maintaining the highest standards of ethics in research and education.

3.0 Conferral of Indefinite Tenure

3.1 General Criteria for Conferral of Indefinite Tenure: Quoted from Regents Policy: *Faculty Tenure* (Section 7.11). "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

¹ The definitions and explanations from the Regents' Policy on *Faculty Tenure* are marked as footnotes.

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 both². This determination is reached through a qualitative evaluation of the candidate's record of scholarly research or other creative work, teaching, and service³. The relative importance of these criteria may vary in different academic units, but each of the criteria must be considered in every decision⁴. 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."

3.2 Promotion to Professor (Section 9.2 of *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)

²"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.

³The 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.

⁴Indefinite 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.

ordinarily resulting from such distinction and achievement⁵. This determination is reached through a qualitative evaluation of the candidate's record of scholarly research or other creative work, teaching, and service⁶.

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.”

See the definitions of "scholarly research," "other creative work," "teaching," and "service" in footnote 3 (see above.) A greater contribution in the area of institutional service is expected of candidates for the rank of professor than was expected for the award of tenure.

3.3 Appointment to Associate Professor and to Professor of candidates from outside the University

Faculty hired from outside the University (external hires) may be appointed with tenure at the ranks of Associate or Professor. These candidates are required to meet the criteria specified in Section 3.4 for the desired rank, as determined by the ECP tenured faculty (or tenured Professors, in the case of appointment to Professor). The decision for conferral of tenure at each rank will be made by votes of the ECP tenured faculty as specified by the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty, section V*.

3.4 Department of Experimental and Clinical Pharmacology Criteria for Promotion and Tenure

Criteria for appointment, tenure, and promotion are listed by rank, research, teaching, and service in Tables 3.4.1-3, respectively. Under each criterion is a short list of possible indicators of relevant accomplishments that may be considered evidence of achievements meeting the criteria in support of teaching, research, or service. Candidates are expected to fulfill criteria shown for each of the research, teaching, and service domains. Fulfillment is a holistic evaluation. The listed examples of achievements are not intended to be exhaustive or applicable to all candidates. Fulfilling a criterion is not based on the number or range of examples of achievements fulfilled, and no precise weighing of the criteria within a domain is prescribed.

⁵“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.

⁶“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 subsection 7.4 for the granting of indefinite tenure, the nondisclosure of grounds for the decision (subsection 7.5), and the review of recommendations (subsection 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 subsection 7.7 for decisions about promotion to associate professor and conferral of indefinite tenure.”

Interdisciplinary collaboration, public engagement, global engagement and inclusivity/diversity are incorporated into the criteria. In each domain, examples of achievements for each criterion constitute types of evidence that candidates may use to demonstrate records of accomplishment distinguished by indicators of excellence in quality, productivity, impact and continued promise.

A probationary faculty member at the assistant professor level must establish a distinguished record of academic achievement that is the foundation of a national reputation to achieve promotion to associate professor with tenure. The Department of Experimental and Clinical Pharmacology requires that a probationary faculty member be accomplished in teaching and research. A probationary faculty member should demonstrate superior achievement in one area and at least satisfactory achievement in the other. In addition, the trajectory and pattern of performance should indicate that the faculty member is likely to contribute to both activities during the remainder of a tenured career at a level that is consistent with that demonstrated. The awarding of indefinite tenure suggests that the probationary faculty records show strong promise of her or his achieving promotion to professor in a timely manner. Judgment of superior and satisfactory performance in teaching and research is based on a balance of qualitative and quantitative factors, including significance to the mission and goals of ECP and the College of Pharmacy and impact on health. Performance in research is judged more by comparison with national standards, whereas performance in teaching is judged more in comparison with peers within the University.

Table 3.4.1 Criteria and Examples of Evidence of Achievements related to Teaching		
Assistant Professor	Associate Professor with Tenure	Professor with Tenure
<p><i>Criterion: Development of a focused area of teaching expertise</i></p> <p>Examples of Achievements:</p> <ul style="list-style-type: none"> • Identifies an educational focus or area • Has educational background consistent with focus • Has teaching or practice background consistent with focus • Has professional certification in the area • Other types of evidence 	<p><i>Criterion: Recognition as an expert educator in a specific area.</i></p> <p>Examples of Achievements:</p> <ul style="list-style-type: none"> • Lectures/leads student learning activities in area of expertise • Authors a chapter in a pharmacy/health science textbook • Creates and maintains a webpage or other web-based teaching platform • Publishes on teaching innovation • Presents guest lectures to other programs in area of expertise • Publishes a review article in designated area in a professional journal • Develops and offers a new course • Develops/presents at continuing professional education, community education or educational workshop at national professional meeting • Engages in experiential instruction in her/his area of expertise 	<p><i>Criterion: Leadership and impact in education in a specific area at a national or international level.</i></p> <p>Examples of Achievements:</p> <ul style="list-style-type: none"> • Edits or writes a widely used/respected textbook • Provides academic opportunities for international scholars • Provides United States students with educational offerings at academic institutions or health agencies outside the United States • Writes invited editorials, serve as a member of national panels focused on education • Other types of evidence

	<ul style="list-style-type: none"> • Other types of evidence 	
<p><i>Criterion: Competence and increasing skill as a teacher</i></p> <p>Examples of Achievements:</p> <ul style="list-style-type: none"> • Has recommendations affirming satisfactory teaching evaluations for guest lectures or other teaching experience • Has participated in teaching/learning development programs/classes to increase skills • Provides examples of teaching materials • Other types of evidence 	<p><i>Criterion: Experience and skill as a teacher</i></p> <p>Examples of Achievements:</p> <ul style="list-style-type: none"> • Receives positive teaching and course evaluations from students and peers • Develops up-to-date, effective educational materials • Incorporates innovative teaching strategies in a course (e.g. problem-based learning, web-based teaching, service learning) • Receives an educational development grant • Develops /presents at continuing professional education, community education or educational workshop at national meeting • Demonstrates effectiveness in inter-disciplinary/inter-cultural/ community-engaged education effort • Teaching award from Pharmacy or graduate program class or other College award • Other types of evidence 	<p><i>Criterion: Leadership and recognition as a master teacher</i></p> <p>Examples of Achievements:</p> <ul style="list-style-type: none"> • Leads major curriculum evaluation/ reform efforts • Obtains funding for educational initiatives • Leads programs to increase recruiting of minorities and underserved individuals into the profession of pharmacy • Receives university/national awards for educational efforts • Other types of evidence
<p><i>Criterion: Potential as an academic advisor</i></p> <p>Examples of Achievements:</p> <ul style="list-style-type: none"> • Contributed to experiential teaching of postgraduate, post-doctoral and/or graduate trainees in clinical settings, laboratories or field sites. • Engaged in career development activities to gain mentoring skills • Other types of evidence 	<p><i>Criterion: Effectiveness as an advisor and mentor</i></p> <p>Examples of Achievements:</p> <ul style="list-style-type: none"> • Serves on a doctoral committee • Advises Melendy or UROP students • Content advisor for PharmD students • Co-advises or advises a doctoral student • Doctoral students and other advisees make timely progress toward graduation • Doctoral students and other advisees obtain foundation or national-level training grants • Advises doctoral students to completion of a PhD 	<p><i>Criterion: Sustained effectiveness and leadership as an advisor and mentor</i></p> <p>Examples of Achievements:</p> <ul style="list-style-type: none"> • Maintains a pattern of timely completion and success in placing advisees in academic, government or industry positions • Primary mentor on an NIH or other national level training grant (<i>individual mentee</i>) • Serves as a K-level mentor to junior faculty • Obtains an institutional training grant or fellowship funding as a leading contributor or PI

	<ul style="list-style-type: none"> • Other types of evidence 	<ul style="list-style-type: none"> • Receives college, university or national award for mentorship/advising • Other types of evidence
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Table 3.4.2 Criteria and Examples of Evidence of Achievements related to Research		
Assistant Professor	Associate Professor with Tenure	Professor
<p>Criterion: <i>Shows evidence of competence in research</i></p> <p>Examples of Achievements:</p> <ul style="list-style-type: none"> • Completed post-doctoral training or a research intensive residency • Obtained fellowship trainee position • Attended career development programs such as grantwriting or NIH-sponsored “bootcamp” • Contributed to funded research program • Recommendations affirm that the candidate conducts research prudently and safely, maintaining compliance with all relevant regulatory groups and fostering compliance among students, staff and others in the conduct of research • Other types of evidence 	<p>Criterion: <i>Pursues a focused program of research and demonstrates independence as a scholar/ researcher</i></p> <p>Examples of Achievements:</p> <ul style="list-style-type: none"> • Obtains significant funding from internal funders for research as PI or co-PI, demonstrating independence as a researcher • Obtains funding from external funders for research as PI or co-PI, demonstrating independence as a researcher • Obtains funding from internal or external funder for research as co-investigator • Participates as a member of research team on collaborative or community-engaged research • Other types of evidence 	<p>Criterion: <i>Increases depth, scope and/or impact of sustained and creative program of research</i></p> <p>Examples of Achievements:</p> <ul style="list-style-type: none"> • Sustained record of investigator-initiated extramural grant awards as PI, Co-PI, or Co-I • Obtains nationally-competitive grant awards on a regular basis. • Obtains a program or center grant for research (as PI) • Maintains a vibrant research program that includes trainees (graduate students, PharmD fellows or post-docs) • Fulfills leadership roles in interdisciplinary or collaborative research or scholarly activities in the College or university • Obtains patents, FDA approvals and engages in technology transfer and commercialization based on research collaborations • Other types of evidence

<p>Criterion: <i>Has a defined area of scholarship/research</i></p> <p>Examples of Achievements:</p> <ul style="list-style-type: none"> • Articulates a research focus in an area relevant to ECP and the College of Pharmacy • Presents a plan with action steps and a timeline for progression on this research plan • Other types of evidence 	<p>Criterion: <i>Receives regional or national recognition as a scholar</i></p> <p>Examples of Achievements:</p> <ul style="list-style-type: none"> • Serves as a consultant or expert on research conducted by others outside the University • Invited to speak at research programs, regionally, nationally or internationally • Invited to participate on regional, national or international working groups to develop research initiatives, priorities, criteria or guidelines • Other types of evidence 	<p>Criterion: <i>Recognition for research/scholarship at a national or international level.</i></p> <p>Examples of Achievements:</p> <ul style="list-style-type: none"> • Receives awards for research from prestigious groups • Invited to lead national panels or committees to establish research priorities and initiatives • Other types of evidence
<p>Criterion: <i>Disseminates scholarly products through publication and/or presentation</i></p> <p>Examples of Achievements:</p> <ul style="list-style-type: none"> • Has authored or co-authored an original research paper in a peer-reviewed journal as a trainee • Published dissertation findings • Presented original research at a regional, national or international meeting • Other types of evidence 	<p>Criterion: <i>Established record of scholarly publications/presentations</i></p> <p>Examples of Achievements:</p> <ul style="list-style-type: none"> • Regularly publishes peer-reviewed, first-authored or primary-authored, data-based publications in respected scientific journals. • Presents competitively selected research papers and other scholarly work at national and international conferences as posters or podium presentations. • Publications include authorship or co-authorship of a seminal paper in a leading journal, as documented by journal impact factor and citation index. • Invited speaker at regional, national and international scientific conferences. • Receives honors/awards for quality of presentation or publications are received at national meetings or from journals, societies or other scientific groups. • Other types of evidence 	<p>Criterion: <i>Sustained, substantive record of productivity through scholarly publications/presentation</i></p> <p>Examples of Achievements:</p> <ul style="list-style-type: none"> • Substantial record of publication consisting largely of peer-reviewed, first-authored or primary-authored, data-based publications in respected scientific journals. • Impact on the field of key publications can be documented by journal impact factor and citation index. • Invited editorials, commentaries and position papers are part of the publication record. • Includes trainees as co-authors. • Presents keynote or invited plenary at major national/international scientific meetings. • Organizes national or international conferences and is the editor of published proceedings. • Receives major award for research/scholarship, lifetime achievement • Other types of evidence

Table 3.4.3 Criteria and Examples of Evidence of Achievements related to Service		
Assistant Professor	Associate Professor with Tenure	Professor
<p><i>Criterion: Participates in faculty governance and service to the Department and College</i></p> <p>Examples of Achievements:</p> <ul style="list-style-type: none"> ● Regular attendance and participation in faculty meetings ● Other types of evidence 	<p><i>Criterion: Effectively contributes to faculty governance and service to the Department, College and University</i></p> <p>Examples of Achievements:</p> <ul style="list-style-type: none"> ● Interviews prospective students ● Serves on a departmental, college or university committee (search committee or standing committee) ● Serves on a task force and working group for department or college ● Advises or coaches pharmacy student team or organization ● Other types of evidence 	<p><i>Criterion: Leadership to the Department, College, University and academic consortia</i></p> <p>Examples of Achievements:</p> <ul style="list-style-type: none"> ● Chairs standing committees and search committees for the College ● Leads task forces for Department and College initiatives such as accreditation reviews ● Chairs university committees ● Represents the university on academic consortium committees ● Other types of evidence
<p><i>Criterion: Participates in professional service</i></p> <p>Examples of Achievements:</p> <ul style="list-style-type: none"> ● Membership in professional organizations ● Other types of evidence 	<p><i>Criterion: Provides valued contributions to professional service</i></p> <p>Examples of Achievements:</p> <ul style="list-style-type: none"> ● Peer review of manuscripts for specialty or generalist journals ● Peer review of grant proposals for college, university, foundations or government agencies ● Member of task force or committee for professional organization ● Other types of evidence 	<p><i>Criterion: Major contributions and leadership in professional service nationally and internationally</i></p> <p>Examples of Achievements:</p> <ul style="list-style-type: none"> ● Serves in a leadership position in national or international professional organizations, research or scholarly societies ● Organizes/chairs national or international scientific meetings ● Editor or associate editor for journals ● Service on a NIH study section ● Receives awards for service contributions to professional societies/groups. ● Reviewer for tenure and promotion documents for faculty at other universities ● Other types of evidence
<p><i>Criterion: Participates in service in the community</i></p> <p>Examples of Achievements:</p> <ul style="list-style-type: none"> ● Volunteer experiences ● Other types of evidence 	<p><i>Criterion: Effectively engaged in professional service locally, regionally, nationally and internationally</i></p> <p>Examples of Achievements:</p> <ul style="list-style-type: none"> ● Develops/organizes programs or health promotion activities for local health care providers, patients, K-12 students or underserved community groups ● Member of health care organization advisory board, formulary 	<p><i>Criterion: Leadership in service to the community</i></p> <p>Examples of Achievements:</p> <ul style="list-style-type: none"> ● Holds leadership positions in local, state, regional, or national community and official advisory groups ● Receives awards or honors for contributions to the community ● Other types of evidence

	committee, ethics committee or other advisory group. <ul style="list-style-type: none"> • Consultant to local agencies, and provides assistance with grant writing, review of proposals or other professional services • Other types of evidence 	
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A clinical practice is not a requirement for tenure in ECP. Under the Pharmacy Faculty Practice Group, an ECP faculty may maintain a practice that serves as a vehicle for teaching and research activities. Faculty who maintain a practice may use practice related examples of achievements to demonstrate accomplishments for criteria in teaching, research or service. Examples of achievements for an Associate Professor with a clinical practice are the following: Teaching – innovations in inter-professional experiential education; Research – development of new technologies/patents for use in practice; Service – consultation to community groups or agencies in areas of recognized clinical expertise.

4.0 Procedures for Annual Performance Review of Probationary Faculty

The Department complies with the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty*, as provided by Section 7 of the Regents Policy on *Faculty Tenure*. Several of these sections are listed below as to note the general importance of these sections in *Faculty Tenure* (FT) and in the *Procedures* (P) document:

1. Explaining the process to the tenure candidate early in the probationary period
2. Holding an annual conference with the tenure candidate
3. Informing candidates of options to extend the probationary period
4. Making the tenure decision in a timely fashion
5. Departmental collection of information on a candidate's performance
6. Annual review by the tenured faculty
7. Preparation of the promotional file for tenure decisions
8. Attendance at tenure meetings
9. Voting eligibility
10. Procedures for voting
11. Reporting actions taken on tenure

Probationary faculty members are reviewed every academic year by the tenured faculty as a whole, using the criteria shown in Tables 3.4.1-3 and guided by feedback and recommendations from prior years documented on University of Minnesota (UM) Form 12. An academic year is defined in Section 5.3 of the Regents' Policy on *Faculty Tenure*. The review is based on the General Criteria for Tenure (Section 7.11), the specific criteria of the Department of Experimental and Clinical Pharmacology criteria in accord with this Section 7.12 (Departmental Statement), and documentation submitted by the faculty member under review. Materials reviewed include the probationary faculty member's College of Pharmacy Faculty Annual Report of Activities which lists of specific accomplishments in each area; current curriculum vitae (CV); teaching evaluations; probationary faculty member's summary statements of accomplishments in research, teaching, and service; percent effort allotted to each mission; and goals, including response to the prior year's evaluation.

The annual appraisal process for probationary faculty is coordinated by the Department Head and completed by the tenured faculty as a whole. The probationary faculty member's annual review materials are made available for review by all tenured ECP Associate Professors and Professors and each tenured faculty member makes an assessment of progress to tenure. The Department Head prepares a critical evaluation of the faculty member's progress to tenure. The Department Head collects comments from the faculty and conducts a secret ballot of the reviewing faculty as to whether satisfactory progress has been made. The results of the vote, faculty comments and department Head evaluation are forwarded to the probationary faculty and to the Dean. The Department Head completes UM Form 12 and discusses the review with candidates. The summary is signed by the candidate, the Department Head, and the Dean of the College of Pharmacy, who forwards it to the Senior Vice President for Academic Affairs and Provost.

4.1 Judging Progress Toward Tenure. The following rating system is used to judge progress toward tenure. Each of the areas (research, teaching, service and peer mentoring) are rated as described below and overall progress toward tenure is rated as: a) exceeds expectations; b) meets expectations; or c) below expectations. A vote of making satisfactory progress toward tenure represents exceeding or meeting expectations, as described below.

Table 4. Rating Overall Progress Toward Tenure	
Rating/Interpretation:	Implications for Tenure Decisions: Based on the Overall Progress determination
<u>Exceeds expectations:</u> Superlative performance as documented by multiple examples of achievements judged to be outstanding in quality.	Truly superlative progress. A candidate for an early tenure decision if an overall exceptional rating is given in multiple years.
<u>Meets expectations:</u> Satisfactory performance as documented by multiple examples of achievements judged to be of good to excellent quality and/or a few examples of achievements of outstanding quality, and no significant deficiencies.	The candidate is on track for promotion within the allotted time frame, with either no deficiencies or adequate progress with some aspects of the area needing improvement.
<u>Below expectations:</u> Marginal or unsatisfactory performance as judged by examples of achievements fair to poor quality performance and/or criteria not addressed.	The candidate is making marginal progress and without improvement is at risk of a negative tenure decision or early dismissal.

4.2 Faculty Mentoring. Probationary Faculty in the Department of Experimental and Clinical Pharmacology are assigned one or more mentors during their initial year on the tenure track according to the departmental mentoring policy as described in *ECP Mentoring Policy*. The policy and procedures are consistent with the AHC Mentoring Policy regarding mentoring of faculty.

4.3 Joint Appointments. Faculty members who hold dual (joint appointments) and whose appointment home is in the department of Experimental and Clinical Pharmacology will be reviewed according to the procedures described in this document and those in the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-track and Tenured Faculty*.

5.0 Probationary Period

5.1 Extension of Probationary Period. In accord with Section 5 of the Regent's Policy on *Faculty Tenure*, the maximum period of probationary service of a faculty member is normally 6 academic years, whether consecutive or not. Under conditions described in Section 5.5 of the Regents' Policy: on *Faculty Tenure*, the maximum period of probationary service will be extended by one year at the notification or request of a probationary faculty member. These conditions include the birth of that faculty member's child or adoptive/foster placement of a child with that faculty member (requires notification only); or when the faculty member is a major caregiver for a family member who has an extended serious illness, injury, or debilitating condition; or when the faculty member has an extended serious illness, injury, or debilitating condition (requires approved request). A probationary faculty member may make more than one request for extension. If the probationary period is extended, the evaluation of the probationary faculty will not be adversely affected in future years.

5.2 Tenure at Appointment. The Dean must have the vote of tenured faculty prior to offering an applicant from outside the University (external hire) a faculty appointment with tenure in the Department of Experimental and Clinical Pharmacology. The applicant must provide the following documents to the search committee and/or the Dean, who must make them available to the ECP tenured faculty as the basis for their evaluation of the conferral of tenure: (a) three external review letters if the individual has received tenure at another academic institution or four letters if not. These letters should be comparable to external reviews obtained for internal candidates for tenure, that include an evaluation of the applicant's accomplishments with respect to General Criteria (Section 7.11) and ECP specific criteria (tables 3.4.1-3) for tenure in teaching, research and service; (b) a current curriculum vitae that includes documentation of research advisement/mentorship; (c) copies of several peer-reviewed articles or scholarly, creative works; and (d) a statement of the prospective faculty member's vision and long term goals, specifically related to the mission, values and goals of ECP and how their work will contribute to it. These materials may not be as extensive as a dossier for promotion for tenure-track faculty (internal promotion). For example, item (d), the applicant's cover letter will suffice if the items are adequately addressed. The ECP regular faculty meet to discuss the applicant and vote on the following motions: (a) vote to recommend tenure in which all tenured members of the faculty are eligible to vote; and (b) the full professors vote on the motion to recommend appointment at full professor rank. Results of the votes and a summary of the discussions are forwarded to the Dean. The votes and summary are appended to the appointment document. Specific procedures for tenured hires are provided in the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty*.

6.0 Preparation of Tenure/Promotion Documentation

The Department Head and at least one senior ECP faculty member (such as the faculty mentor(s)) will advise the candidate in preparing the documentation for tenure/promotion according to the standards set by the College of Pharmacy. Voting faculty members are expected to review these documents prior to voting on tenure/promotion. The candidate is given the opportunity to review and/or provide written comment on the documentation before the faculty vote is taken, and again before the documentation is forwarded to the Dean and the College Promotion and Tenure Committee. All additions to the documentation after it leaves the department are to be shared with the candidate.

6.1 Letters of evaluation for tenure/promotion. At least six letters of external evaluation are included as part of the tenure/promotion documentation in the Department of Experimental and Clinical Pharmacology. The ECP Promotion and Tenure Committee in conjunction with the Head will ask the candidate for suggestions for writers of letters in support of the candidate for tenure/promotion. The Committee will independently add their own suggestions and be the final authority in choosing letter writers. At least four of the letters will be requested from respected peers outside of the University who do not have a special connection to the candidate (such as past former advisors or advisees) but who can independently evaluate the candidate's growing national or international intellectual reputation. While a strong preference is given to letters of evaluation from individuals external to the University of Minnesota, up to two of the letters *may* be requested from faculty at the University of Minnesota who are external to the College of Pharmacy. Letter writers are informed that their letters may be seen by the candidate. The external letters may have positive as well as negative evaluations concerning tenure/promotion. (See the *Procedures for Reviewing Candidates for Promotion and/or Tenure: Tenure-Track and Tenured Faculty*.)

6.2 Other Letters. In addition to the letters noted above, a letter from the Department Head and one from the ECP Promotion and Tenure Committee will accompany the documentation for tenure/promotion before transmittal to the Dean. The ECP Promotion and Tenure Committee will write a letter to the Department Head regarding the candidate's application and the Head will write a letter reporting the vote of the faculty, the nature of the discussion at the faculty tenure and promotion meeting, and his/her independent evaluation of the candidate's case for tenure/promotion.

7.0 Review and Promotion of Tenured Faculty

7.1 Statement of Goals and Expectations for Tenured Faculty. Tenured faculty in the Department of Experimental and Clinical Pharmacology are expected to conduct research, educate students and contribute service to the Department, College, University and the public. Furthermore, tenured faculty members are expected to contribute to a lively climate of engaged scholarship, be leaders within the College and effective mentors to tenure-track faculty. The purpose of the annual review of tenured faculty is to affirm each tenured faculty member's continued engagement at the expected level; or, when performance falls substantially short of minimal expectation, to create and implement a performance improvement plan. The general criteria that serve as the basis for the review of tenured faculty are cited in the Regents Policy on *Faculty Tenure*, Sections 7a.1, 7a2, and 7a.3, and *Procedures for Reviewing Candidates for Promotion and/or Tenure: Tenure-Track and Tenured Faculty*.

The goals and expectations with regard to teaching, research and service for tenured faculty members will be consistent with those used in the granting of tenure and described in Section 3.4 above, and may also take into account the different stages of professional development of faculty. During the post-tenure period, the relative emphasis on the three missions of research, teaching, and service may vary from person to person and year to year. 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 and that joint appointments, administrative roles or other special assignments, may impact the distribution of effort. All tenured faculty are expected to contribute to the service mission of the College and the University. Where there is a substantial departure from the general expectations for effort toward each mission, these will be documented in a memorandum of understanding specifying the re-distribution of effort and revised goals and expectation, as outlined in *Procedures for Reviewing Candidates for Promotion and/or Tenure: Tenure-Track and Tenured Faculty*.

7.2 Minimum Performance Expectations. Minimum performance expectations are distinct from the individual goals that a tenured faculty member may establish as a personal work plan. Failure to submit annual review documents by the published deadline is a general failure to meet minimum performance expectations because no data relevant to the assessment is available.

Performance that does not meet minimum expectations is consistent with ratings of 0 to 2 in Table 5 below. Performance “substantially below expectations” is defined as receiving ratings of 0 to 2 in at least 2 of the 3 areas (teaching, research and service) from the majority of the members of the Faculty Evaluation Committee and from the Department Head.

Table 5. Rating Performance of Tenured Faculty at Annual Reviews	
Rating	Interpretation
6-8	<u>Exceeds expectations</u> : Superlative performance as documented by multiple examples of achievements judged to be outstanding in quality.
3-5	<u>Meets expectations</u> : Satisfactory performance as documented by multiple examples of achievements judged to be of good to excellent quality and/or a few examples of achievements of outstanding quality, and no significant deficiencies. Performance is consistent with the goals and expectations of the Department.
0-2	<u>Below expectations</u> : Marginal or unsatisfactory performance as judged by an absence of examples of achievements or examples of achievements of fair to poor quality performance.

7.2.1 Teaching. Effective teachers disseminate knowledge to students and are respected mentors who guide advisees to advancement in their educational and professional careers. Adequate discharge of educational responsibilities is demonstrated by accomplishing “Examples of Achievement” from at least one of the criteria shown in Table 3.4.1 column: Associate Professor, or Professor (examples from either column are acceptable regardless of rank of faculty being evaluated).

7.2.2 Research. Adequate research activity is evidenced by accomplishment over the course of a 3-year period “Examples of Achievements” from at least one of the criteria shown in Table 3.4.2 column: Associate Professor, or Professor (examples from either column are acceptable regardless of rank of faculty being evaluated).

7.2.3 Service. Participation in departmental governance and / or some other service as demonstrated by accomplishing “Examples of Achievements” from at least one of the criteria shown in Table 3.4.3 column: Associate Professor, or Professor (examples from either column are acceptable regardless of rank of faculty being evaluated).

7.3 Procedures for Annual Review of Tenured Faculty

Annual reviews of tenured faculty do not differ substantially from reviews of probationary faculty as outlined above in Section 4. The detailed College of Pharmacy Faculty Annual Report of Activities therefore actually provides data that contribute to three functions: a) evaluation of progress toward tenure; b) evaluation of productivity of tenured faculty; and c) evaluation for merit raises. The review is conducted during spring semester as part of the College’s annual deliberations for merit, compensation and review of tenured faculty. Each faculty member will submit a detailed College of Pharmacy Faculty Activities Report that includes teaching assignments, citations for research

publications with designations for peer review and primary authorship, scholarly presentations, grants submitted, active grants and funding, information on advising, mentors and mentees, service, leadership and innovations with attachments that include a current CV and teaching evaluations by students and peers. These documents are reviewed by the Department Head and ECP Faculty Evaluation Committee (FEC). The ECP Faculty Evaluation Committee is an elected committee composed of 3 tenured faculty members including two professors, who serve staggered 3 year terms. The FEC committee composition and the annual review procedures are described in the *Departmental Annual Review of ECP Faculty – Policy and Procedures*. As part of the annual review process, the Department Head and the Faculty Evaluation Committee review the progress toward promotion of tenured Associate Professors and provide feedback to associate professors about their progress. The Department Head and each member of the Faculty Evaluation Committee independently judge every tenured faculty member's accomplishments in teaching, research and service using the Criteria described in Tables 3.4.1-3 and the 0 to 8 rating scale shown in Table 5 for each area.

Each faculty member meets with the Department Head annually to review his/her past performance and future plans relative to this 7.12 document. Workload, committee and teaching assignments, mentoring, progress of Associate Professors toward promotion to Professor, and career development opportunities and needs (e.g., sabbaticals, semester leaves, etc.) are discussed.

Faculty members receive feedback in the form of a letter containing a written summary of their review which includes their average ratings for teaching, research and service from the Faculty Evaluation Committee, their rating from the Department Head for each area, and average ratings for all ECP faculty from the Faculty Evaluation Committee, and a critical evaluation of their accomplishments by area and overall, written by the Department Head. Faculty members also have access to verbatim comments about their performance made by the Faculty Evaluation Committee.

If, during these deliberations, both the Department Head and a majority of the Faculty Evaluation Committee find that a tenured faculty member's performance is substantially below the departmental goals and expectations (described in Section 7.2 of this document), the Committee and the Head will send a letter to the faculty member, stating that finding. The letter will be signed by the Head and the Committee. The letter will specify the deficiencies, and will set a time period within which the faculty member should address the identified problem(s) and demonstrate improvement. This time period will be no less than one year from the date of the letter. Both the Department Head and the elected committee will work with the faculty member to improve performance during that time. If the tenured faculty member has not improved performance to meet the goals and expectations of the department as specified in the letter cited above in the time period designated, the Head and the elected committee may jointly request that the Dean of the College of Pharmacy assemble a special review committee according to Section 7a.3 of *Faculty Tenure*.

7.4 Promotion to Associate Professor and Professor.

The recommendation to promote to the rank of associate professor is simultaneous with a decision to grant tenure for a probationary assistant professor. General and specific criteria for tenure, judging progress toward tenure and procedures for documentation and making recommendations are set forth in Sections 3, 4, 5 and 6 above.

The criteria for promotion to Professor for the University of Minnesota are provided in Section 9.2 of *Faculty Tenure*. The ECP-specific criteria and examples for achievements for the rank of Professor are listed in Table 3.4.1-3. For promotion to Professor, in addition to criteria used for appointments to Assistant and Associate Professor, evidence is sought for:

1. A recognized international reputation as shown, for example, by invitations to international symposia, election to prestigious scientific organizations, editorships, or holding of offices in international societies.
2. Letters from authorities in the candidate's field assessing the candidate's scientific contributions, particularly to determine whether the candidate is among the intellectual leaders in his/her field.
3. Establishment of a research program for pre- and post-doctoral trainees that has resulted in placing trainees in academic and other advanced positions in their fields.

There is an expectation that Associate Professors who are recommended for promotion to Professor are engaged in a research program that is of greater depth, scope and/or impact than was evident at the time of their promotion from Assistant Professor to Associate Professor. Candidates will be expected to demonstrate their readiness for promotion to Professor by documenting accomplishments that have taken place since their initial promotion to Associate Professor. The procedures for promotion of tenured faculty are described in *Procedures for Reviewing Candidates for Promotion and/or Tenure: Tenure-Track and Tenured Faculty*; preparation of promotion documentation is described in Section 6 above.

8.0 Schedule of Revision

The Faculty shall conduct a systematic review of the 7.12 statement at least every five years. Requests for additional reviews of the 7.12 statement may be sent to the Department Head by faculty members with regular appointments or by the Dean. The Department Head will either charge the Faculty Evaluation Committee or a task force to propose any necessary revisions. These revisions will then be made available to the regular faculty, which will conduct a vote on the acceptability of the changes. If no changes are required, that fact will be reported to the regular faculty. Revisions approved by the regular faculty are then forwarded to the Dean and the Senior Vice President for Academic Affairs and Provost for their consideration. The dates of approvals of changes shall become part of the Department of Experimental and Clinical Pharmacology 7.12 Statement.