

UNIVERSITY OF MINNESOTA
MEDICAL SCHOOL

DEPARTMENT OF MEDICINE

PART 2. DEPARTMENTAL ADDENDUM

I. INTRODUCTORY STATEMENT

This document describes the specific criteria and standards which will be used to evaluate whether faculty in the Department of Medicine, both in the basic and clinical sciences, meet the general criteria in Section 7.11 of the Board of Regents Policy: *Faculty Tenure* as defined for this Department. . It also provides the specific criteria and standards that will be used to evaluate associate professors for promotion to professor according to Section 9.2 of the Faculty Tenure policy.

This document contains the Department's Criteria and Standards pertaining to:

- A. Award of indefinite tenure
- B. Promotion from Assistant Professor to Associate Professor and from Associate Professor to Professor
- C. The departmental process for the annual appraisal of probationary and tenured faculty
- D. The goals and expectations for the annual review of tenured Faculty

II. MISSION STATEMENT

The Department of Medicine is committed to the overall objectives of the University of Minnesota and its Medical School with its mission in maintaining the highest standards of academic excellence in programs of undergraduate and graduate medical education, in the application of clinical services to patients, continued medical education for physicians, and basic and applied research to clinical problems. Interdisciplinary work, public engagement, international activities and initiatives, and technology transfer may be part of this process. The long-term goal of faculty in the Department of Medicine is to become full Professors. Awarding indefinite tenure accompanies advancement in rank to Associate Professor except for faculty who are hired at the Associate Professor level who may have up to three probationary years prior to awarding tenure.

III. APPOINTMENT AND ANNUAL APPRAISALS OF PROBATIONARY FACULTY

A. APPOINTMENT OF PROBATIONARY FACULTY

Tenured and tenure-track appointments require pre-approval by the Dean of the Medical School to initiate a search. Faculty hired with tenure are subject to approval by the Senior Vice President for Academic Affairs and Provost of the University of Minnesota. A candidate for appointment to Assistant Professor is judged according to the following standards:

- 1. Evidence of scholarship in the candidate's academic record as judged by election to prestigious undergraduate and graduate societies and honors awarded during the academic career.
- 2. Although independence may not always have been evident, research by the individual which demonstrates high quality and which has been accepted for publication or has been published in peer-reviewed national journals.
- 3. Documentation of the individual's skills in teaching and communication.
- 4. Letters of evaluation from individuals, with whom the candidate has worked, particularly as preceptor and/or supervisor.

B. ANNUAL APPRAISALS OF PROBATIONARY FACULTY

1. Process

The overall process for Annual Review of Probationary Faculty in the Department of Medicine is in compliance with Section 7.2 of the Board of Regents Policy: *Faculty Tenure*. Each faculty member will undergo annual review by their Division Director and Department Head and outline the goals for the next year. The Division Director reviews and discusses with the candidate their general and subspecialty specific progress.

- The probationary faculty member is assigned a mentor as he/she enters the tenure track. The mentor meets with and provides advice to the probationary faculty member on a regular basis regarding progress on the tenure track – goals and objectives, methods for reaching goals, and guidance in preparing their dossier.
- The probationary faculty member and the primary mentor will annually prepare a report and the probationary faculty will meet with their Division Director. The primary mentor will meet with and present the annual report to the tenured faculty of the Department of Medicine Promotion and Tenure Committee to review the faculty member’s accomplishments, as outlined in Part III, Annual Review of Tenured Faculty.
- A vote of the tenured faculty of the Department of Medicine Promotion and Tenure Committee will be taken annually to recommend promotion, continuation, or discontinuation on the track. A 2/3 vote is required for action to discontinue, and a majority vote for action to continue or promote. Each faculty member along with their primary mentor and Division Director will be given written feedback which will be included in their annual Form 12.
- The Division Head and Department Head prepare a UM Form 12 (Annual Appraisal Form), which summarizes the faculty member’s accomplishments and the promotion and tenure committee’s discussion thereof. The probationary faculty member reviews and signs UM Form 12, which is then forwarded to the Dean and then to the Senior Vice President for Academic Affairs and Provost for review and approval.

2. Criteria

The criteria for satisfactory performance to be used for the annual review in the Department of Medicine are the same as with the appropriate criteria for rank, as defined in this 7.12 Statement.

IV. CRITERIA FOR TENURE

Standards for Tenure - Department of Medicine

The Department Medicine accepts and subscribes to the criteria and standards for tenure of faculty at the University of Minnesota Medical School, as described in Part 1. Medical School Preamble, with the following department-specific criteria. All candidates are expected to demonstrate competence in both teaching and research. For faculty members whose principal activities reside in an extra departmental Center, specific evaluation criteria for that Center will be attached to this statement as an appendix.

A. TEACHING

1. Activities may occur in a variety of educational settings and formats, including: didactic presentations, lectures, seminars, conferences, tutorials, laboratories, case discussions, grand rounds, hospital and clinic rounds, patient care, interventional and other procedures, and continuing education.
2. Distinction in teaching for the granting of tenure must include scholarly work in education.

3. Primary distinction in teaching involves evidence of the generation of new methods of pedagogy with national recognition by peers, e.g., American Association of Medical Colleges (AAMC), American Council of Education (ACE) and impact on educational programs nationally is required.

"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.

Assessment of accomplishments and effectiveness in teaching and advising students is based upon these four areas:

1. Review of course(s) taught, directed, or developed; a list of students and degree candidates for whom the faculty member has served as academic adviser.
2. Evidence of participation and teaching excellence at the undergraduate, graduate, and/or post-doctoral levels, evaluated by the written statements and/or compiled rates of students, to include:
 - a. Full participation in the practical and classroom education of undergraduate medical students.
 - b. Full participation in teaching and advising of professional students, including students in the M.D. curriculum and other professional educational programs.
 - c. Service and distinction as a faculty adviser to post-M.D. residents (Medical Fellow Specialists or Medical Fellows), post-residency clinical fellows, visiting foreign post-doctoral fellows and faculty.
 - d. Service as a faculty mentor to students in undergraduate and graduate categories who engage in research activities within the Department.
3. Written statements by the Head of the Department, academic peers, and others familiar with the candidate's performance in teaching.
4. Accumulation of the above forms of evidence on teaching competence and excellence over a sustained period of time.

B. RESEARCH / SCHOLARSHIP

"Scholarly research" includes significant publications, important roles in collaborative or interdisciplinary scholarly work, and, as appropriate, the development and dissemination by other means of new technology or scientific procedures resulting in innovative products, practices, and ideas of significance and value to society.

Assessment of distinction in research may be based upon the following criteria:

1. Scientific Publications
Evidence is sought that the work is scholarly, creative, and of high quality and significance, whether focused on laboratory endeavors, clinical investigations, analysis or synthesis of clinical observations and experience or teaching methods, approaches and outcomes.

For the Department of Medicine, given the scope of divisions, a comprehensive list of acceptable publications would not be feasible for inclusion in this document. All publications cited in the Index Medicus and key basic science publications are acceptable.

- a. Publication through these modalities are part of the scholarly activities of a faculty member, but cannot be considered as the sole basis for tenure.
 - b. Service as an Editor or Member of the Editorial Board of a Reputable Journal or Monograph in a Biomedical Discipline.
 - c. Significant original contributions based on clinical observations resulting in new therapies or techniques which impact the practice of medicine.
 - d. Assessment of competence in research is based upon evidence of significant discipline-related publications, including reports of clinical investigations, identification through case reports of new syndromes or treatments, and descriptions of new techniques; participation in invited scientific and clinical symposia, meetings and lectures, and letters from authorities in the candidate's clinical discipline assessing his/her contributions to the discipline.
2. Independence of research accomplishments, or significant contribution to interdisciplinary or collaborative research. Evidence of independence or significant contribution to interdisciplinary or collaborative research may include:
- a. Naming of the candidate as the first or senior author on multi-authored journal articles and/or documentation of major, substantial contributions by the candidate to the collaborative project and publication.
 - b. Statements of peer evaluators on the creativity and significance of the candidate's contributions to a collaborative research project and/or to multi-authored publications.
 - c. Identification of the candidate as the principal investigator or a major collaborator on peer-reviewed, funded research grants or contracts
 - d. Invitations/nominations to serve on study sections, national policy boards, editorial boards, etc.
3. External research funding from federal and other national granting agencies which sponsor programs in biomedical research subject to peer review. Candidates are expected to demonstrate distinction in research by achieving a national reputation in their area of expertise. A critical indicator of this reputation is the receipt of external, peer-reviewed funding. A candidate should be the recipient of a grant(s) or contract(s) from a national or regional granting agency that utilizes scientific peer review as the primary basis for awards. On occasion, this may transition to funds from other sources such as industry support or philanthropy. The candidate may hold the designation of Principal Investigator for such research funding; alternatively the candidate may be a member of an interdisciplinary team sharing mutual responsibility for the research endeavor. In this circumstance, the documentation of the candidate's research funding must contain a clear description of the roles of the co-Investigators and explication of the significance of the candidate's contributions to the intellectual content of the research. Examples of granting agencies include, but are not limited to:
- An Institute of the National Institutes of Health, Public Health Service, or other similar federal agency
 - A unit or affiliate of the American Heart Association
 - A unit or affiliate of the American Cancer Society
 - A unit or affiliate of the American Diabetes Association
 - Other nationally-based organizations using peer-review as a basis for award

C. CLINICAL SERVICE (if applicable)

When applicable, Clinical Service expectations demonstrating an excellent reputation in a clinical specialty may be demonstrated through patient referral patterns, feedback from patients, evidence of clinical outcomes, visiting lectureships, memberships in professional societies, and participation in administrative and leadership groups related to the medical specialty.

D. SERVICE

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

Assessment of significant discipline-related service contribution is based upon:

1. Active roles in discipline-specific regional and national organizations.
2. Service to the Department, School, or University on governance-related or policy making committees.

Documentation of public engagement scholarship and activity may include:

1. Descriptions of sustained programs, projects, and partnerships, including details about the process and collaborative relationships involved in the Department of Medicine.
2. Media, with information on types of media, populations reached, circulation, influence, citations, that pertain to the Divisions in the Department of Medicine.
3. Summary of public influence such as involvement in policy development, policy changes, new laws, or changes in agency practices.
4. Multiple, complementary products integrating teaching, research, and service, e.g., a package containing a refereed journal article, community education materials and facilitation tools, and media stories – all emerging from one collaborative project.
5. Summary of involvement of community stakeholders as collaborators and co-creators of projects.

Additional documentation such as this for public engagement work may be different than for traditional disciplinary scholarship, but evaluation of these products is not held to lower standards than traditional disciplinary activities. Determining whether certain products (such as broadcast media or CD ROMs) meet these evaluation criteria may require efforts by tenured faculty to determine the standards of quality in unfamiliar areas and to locate peer reviewers who can evaluate these products by the best contemporary standards.

V. CRITERIA AND STANDARDS FOR PROMOTION IN FACULTY RANK

Promotion decisions in the Department of Medicine require more than 50% of eligible voters with more than 50% of those voting in favor on the question to affirmatively recommend for promotion. Eligible members include faculty at the proposed rank and above voting for promotion; and faculty with tenure voting for award of tenure.

If a faculty member has a joint appointment in another department and is being considered for promotion, the Department of Medicine will contact the other department(s) to obtain their assessment and record of vote on the proposed promotion. . (See the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty* for details on the

evaluation of faculty with joint appointments.)

A. ASSISTANT PROFESSOR

Not applicable in the Medical School (entry level rank is Assistant Professor)

B. TO ASSOCIATE PROFESSOR

The criteria and standards for promotion to the rank of Associate Professor in the Department of Medicine are those stated for consideration of tenure (see IV above). A recommendation for promotion to Associate Professor is made when an eligible faculty member has fulfilled the general criteria applicable to tenure. A national reputation is expected for promotion to Associate Professor.

C. TO PROFESSOR

The Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty requires that the tenured faculty of departments review and provide feedback to tenured associate professors every four years regarding their progress toward promotion to the rank of professor. An international reputation is expected for promotion to Professor. A candidate for promotion to Professor is judged according to the following standards:

In addition to continued adherence to the standards on which promotion to Associate Professor was based, with respect to performance and accomplishments in teaching, research and service, a candidate for Professor will also present evidence of additional academic activities such as:

1. Effective mentoring of Assistant and/or Associate Professors in academic development and scholarship.
2. Attention to fostering a culture which enhances diversity.
3. Establishment of a training program for pre- and/or postdoctoral fellows in a specific discipline that has resulted in the placing of trainees in academic positions, and a mentor program for junior faculty for academic development and scholarship.
4. Election to prestigious scientific and/or professional organizations which recognize excellence and significant academic contributions; membership on editorial boards, national review panels; holding of offices in national and international societies.
5. Letters from authorities attesting to the candidate's acknowledged national and international reputation and recognition of leadership in his/her field; letters from prominent senior faculty members at other universities assessing the candidate's qualifications.
6. Nationally recognized leadership roles in the profession or the institution.
7. Creating and sustaining a culture that fosters diversity.

VI. ANNUAL REVIEW OF TENURED FACULTY

The Department of Medicine utilizes the process for post tenure review defined in Part 3. Annual Review of Tenured Faculty. In general, the tenured faculty members should continue as an active participant in the intellectual life and mission of the Department. Satisfactory performance in teaching, research and service are expected of all tenured faculty members in the Department of Medicine. 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.

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 (teaching, research, and service).

A. 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 substantial accomplishments within one or more of the following categories:

- Teaching on clinical, research, or other educational topics
- Precepting residents and students in clinic
- Supervising hospital rounds
- 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 (textbooks, published manuscripts, instructional videos, instructional software, etc);
- Evidence of active participation on department, university, hospital, or other committees;
- Educational outreach activities related to the faculty member's scientific or professional expertise.

B. RESEARCH/SCHOLARSHIP

Tenured faculty are 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 five years, tenured faculty should report 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 medical or scientific journals;
- Publication of scholarly books, book chapters, review articles, and postings to web-sites or other non-refereed venues.
- Mentoring residents and/or other faculty in their research

C. SERVICE

Tenured faculty are expected to perform service within the department, the college and university, and in their scholarly disciplines, 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 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, medical school, or University;
- Reviewing and/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, medical school or University;

VII. PROCEDURES

A. VOTE

1. A vote will be taken for decisions to recommend a candidate for promotion and/or tenure. Such a vote will require more than 50% of eligible voters with more than 50% of those voting in favor for the motion to pass.
2. A vote will be taken for all decisions to terminate the contract of a probationary faculty member. Such a vote will require more than 50% of eligible voters with more than 50% of those voting in favor for the motion to pass.

VIII. PROCESS FOR UPDATING 7.12 STATEMENT

The 7.12 Statement will be reviewed by the Department Head and Promotion and Tenure Committee on at least a five-year cycle.

History:

Voted on by secret ballot and approved by the Medicine Faculty: October 30, 2012

Approved by the Senior Vice President for Academic Affairs and Provost: October 31, 2012