

UNIVERSITY OF MINNESOTA

Twin Cities Campus

Office of the Dean
Medical School

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March 20, 2000

MEMORANDUM

3/30/00

Copy to
Nubey Bebeau

MAR 24 2000

SR VP HS OFFICE

TO: Frank B. Cerra, M.D.
Senior Vice President of Health Sciences
Academic Health Center

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FROM: Alfred F. Michael, M.D. *Al Michael*
Dean of the Medical School
Regents' Professor of Pediatrics

SUBJECT: Post Tenure Review

Professor Mary Dempsey has assisted us in reviewing the departmental submissions for Post Tenure Review and the Compensation Policy against the essential elements proposed in the recent memo from Professor Robert Jones.

You will note that most departments have elected to utilize established merit review procedures to comply with the compensation policy.

The attached set of departmental statements is divided into two groups.

1. Statements are responsive to the policies and recommend for approval.

Department of Dermatology
Department of Medicine
Department of Microbiology
Department of Neurology
Department of Neuroscience
Department of Neurosurgery
Department of Ophthalmology
Department of Orthopaedic Surgery
Department of Pediatrics
Department of Physical Medicine and Rehabilitation
Department of Physiology
Department of Radiology
Department of Therapeutic Radiology

Frank B. Cerra, M.D.

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2. Statements which lack one or more essential element. We will follow up with those department and you may expect to receive revised statements.

Department of Anesthesiology

Department of Biochemistry, Molecular Biology, and Biophysics

Department of Family Practice and Community Health

Department of Laboratory Medicine and Pathology

Department of Pharmacology

Department of Otolaryngology

Department of Surgery

3. Finally, the following departments have not completed work on this policy. We are requesting that they complete their work promptly.

Department of Genetics, Cell Biology and Development

Department of Obstetrics, Gynecology and Women's Health

Department of Psychiatry

Department of Urologic Surgery

Please call if you have any questions.

Enclosures

cc: Mary E. Dempsey, Ph.D.
Robert B. Howe, M.D., F.A.C.P.
Robert Jones (attachments)

UNIVERSITY OF MINNESOTA

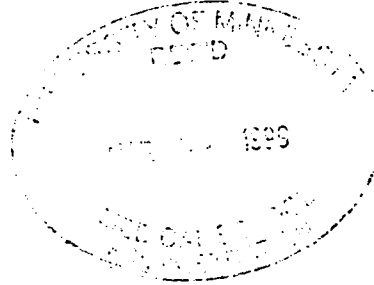
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Department of Anesthesiology
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March 19, 1999

Robert Howe, M.D.
Associate Dean
Graduate & Faculty Affairs
Box 293 FUMC



RE: Post-Tenure Review Plan

Dear Dr. Howe:

Appended are the proposed Procedures, Goals and Expectations, and the annual report to be completed by every faculty member each year in April or May.

Our plan is to have the Department Head review and discuss each member's progress in the first instance. If any member is considered to have a substandard performance, he/she will then be assessed by a committee of all the Department faculty. In case of a second substandard assessment, the faculty member will then be referred to the Dean for special review.

I trust this plan will meet with the School's expectations for post-tenure review. If not, please let me know.

Sincerely,

A handwritten signature in cursive script that reads "R. J. Palahniuk".

Richard J. Palahniuk, M.D.
Professor and Head

RJP/smk

Post-Tenure Review/Annual Performance Review

Procedures:

Each full-time faculty member of the Department of Anesthesiology will be expected to submit to the Department Head an Annual Activity Report documenting teaching efforts, scholarly productivity (abstracts, papers, chapters, grants, etc.), administrative service, clinical service and outreach activities. These reports will be required by April 30 of each year. The Department Head will review these with each faculty member during a private meeting.

If any member's performance is deemed not to meet expectations, further review will be performed by an elected committee of the faculty of the Department. If the faculty review committee also feels that performance is not up to expectations, the faculty member will be referred to the Dean of the Medical School for special review.

March, 1999

Post-Tenure Review/Annual Performance Review

Goals and Expectations:

The post-tenure review and the annual performance review will be a combined annual process in the Department of Anesthesiology. The review will be expected to assess the progress and contributions of each full-time faculty member to the Department of Anesthesiology, the Medical School and the University of Minnesota.

The four general areas of performance expectations will be teaching, scholarly productivity, administrative and clinical service, and community outreach. Performance in each category will be evaluated and weighted in light of performance in the other categories and taking into account each faculty member's expressed career priorities.

DEPARTMENT OF ANESTHESIOLOGY

Faculty Member Annual Report

Academic Year: July, 1996 through June, 1997

Name: _____

Rank: _____

Date of Appointment: _____

A. Clinical and Nonclinical Time:

Average hours/week providing patient care _____

Average hours/week in non-OR teaching _____

Average hours/week in research _____

Average hours/week in administrative activities _____

Average hours/week in other academic activities _____

B. Teaching:

1. Clinical Teaching:

Estimated hours/week clinical teaching of residents. _____

Estimated hours/week clinical teaching of medical or other students _____

2. Lectures:

List all formal teaching responsibilities, including hours/year of actual lecture time. Include seminars, case conferences and all non-operating room teaching activities.

Course/Conference Hrs/year

2. Lectures: (continued)

<u>Course/Conference</u>	<u>Hrs/year</u>
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

3. Other Teaching:

List other teaching activities (nursing, community, etc.) including hours/year of activity.

<u>Teaching Activity</u>	<u>Hrs/year</u>
_____	_____
_____	_____
_____	_____

C. Research

1. Research in progress:

<u>Title/Description</u>	<u>Other Investigators</u>
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

Title/Authors/Journal (continued)

4. Other Research Activities/Publications (past one year only)

List chapters, letters to editor, refresher courses presented, editorial activities, book reviews, etc.

5. Grants (past one year only)
(source, amount, co-investigators)

6. Grants pending review or funding
(source, amount, co-investigators)

D. Administration

1. Departmental Committees:

Committee

Meetings/year

2. Hospital/University Committees

Committee

Meetings/year

3. State/National/International Committees

Committee/Activity

Days/year

E. Awards/Recognition (past one year only)

F. Miscellaneous

1. Resident Advisor to:

2. Medical Student Advisor to:

3. Community Professional Activities:

4. Other Professional Activities not listed above:

Signed: _____

Date: _____

UNIVERSITY OF MINNESOTA

To *Cherie*
RH
Pete

Twin Cities Campus

*Biochemistry, Molecular Biology
and Biophysics
Medical School and
College of Biological Sciences*

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<http://biosci.cbs.umn.edu/bmbb>*

May 20, 1999

To: Dean Elde and Dean Michael

From: Charles Louis



Re: Governance Documents

These are the documents we will be using for merit based compensation and for the faculty appointments in BMBB. Both of them have been voted on by the full faculty. We are requesting your approval.

The 7.12 and post-tenure documents are being worked on. The goal is to have them completed by the end of the summer.

Faculty Appointment Titles in the Department of Biochemistry, Molecular Biology, and Biophysics

The Department of BMBB needs firm support for and from an appropriate number of committed faculty to fulfill its mission of research, teaching, and service. To this end, there will be three types of faculty appointments: Primary, Joint, and Adjunct. These are defined as follows:

1. **Primary Appointment in BMBB:** Faculty with tenured (P), probationary tenure-track (N), or temporary (T) appointments in BMBB.

Faculty with primary appointments in BMBB will have voting privileges on divisional/departmental issues in accordance with University and Collegiate policies. They will be listed on all BMBB faculty rosters. Primary Appointees will carry full research, teaching and service loads in BMBB. They are expected to adhere to the guidelines for professional effort according to the goals outlined in the document "Procedures and Criteria for Merit Based Compensation; Department of Biochemistry, Molecular Biology & Biophysics."

2. **Joint Appointment in BMBB:** Faculty with tenured (P), probationary tenure-track (N), or temporary (T) appointments in another department.

Faculty with joint appointments in BMBB must be members of the BMBB Graduate Faculty. They will have voting privileges on divisional/departmental issues in accordance with University and Collegiate policies and will be listed on all BMBB faculty rosters. Joint Appointees are expected to attend BMBB faculty meetings, to attend the BMBB seminar series, and to perform other duties prescribed as performance goals and expectations for the Department with consultation and approval of both department heads. Continuation of appointments would be reviewed every five years in conjunction with reviews of BMBB Graduate Faculty appointments.

A candidate for a joint appointment who is applying for an Assistant Professor position in another department must submit to BMBB the same documentation and undergo the same evaluation expected for candidates for Assistant Professor with their primary appointment in BMBB. This includes a *curriculum vitae*, letters of recommendation, and a description of future research plans. The candidate must present a seminar to the BMBB faculty, be interviewed in a meeting of BMBB faculty held after the seminar, and be interviewed by both selected individual BMBB faculty and the department head. The candidacy will then be discussed in a BMBB faculty meeting and a vote will be taken by written ballot, requiring approval by a $\frac{2}{3}$ majority of the returned ballots. The resulting recommendation and vote will be submitted to the BMBB Department Head.

A candidate for a joint appointment who already has a faculty appointment in another department must submit similar documentation to that described in the preceding paragraph and must also

present a seminar and be interviewed jointly and singly by both the faculty and department head. The candidacy will then be discussed in a BMBB faculty meeting and a vote will be taken by written ballot, requiring approval by a $2/3$ majority of the returned ballots. The resulting recommendation and vote will be submitted to the BMBB Department Head.

The requirement for a departmental seminar will be waived if such a seminar had been recently presented to the BMBB faculty.

3. Adjunct Appointment in BMBB:

Members of the scientific community, may be given an Adjunct appointment in BMBB upon the vote of the faculty. Such appointments may be made to enhance the teaching or the research missions of BMBB. An adjunct appointment provides the appointee with access to departmental resources and inclusion in discussions of departmental affairs, but does not confer voting privileges. However, Adjunct Appointees may serve on departmental committees and be given a full vote within the context of that committee work. Adjunct appointments will normally be reviewed annually.

Two other types of appointment in BMBB are recognized:

1. Visiting Faculty in BMBB:

Visiting faculty appointments in BMBB designate individuals who are at the University to give lectures or collaborate in laboratory research. Visiting faculty have their permanent appointment at another institution, and this temporary appointment is made for a specific time period and for tasks that enhance the missions of BMBB.

2. Non-faculty Appointments in BMBB:

The Department of BMBB designates certain appointees as Research Associate or Research Associate/Assistant Professor. These titles designate individuals with the Ph.D. degree who conduct research or other technical services for BMBB. They are not designated as faculty appointments nor do they imply candidacy for tenure-track or tenured positions.

Procedures and Criteria for Merit-Based Compensation Department of Biochemistry, Molecular Biology & Biophysics

Merit Review Committee:

Charge: The Merit Review Committee is advisory to the Head of the Department in matters pertaining to the awarding of merit based compensation. Their function is to review documentation (prescribed below) submitted by individual faculty for merit-based compensation and to recommend to the Head of the Department a numerical ranking of faculty members performance. They will also provide a brief statement regarding each faculty member's performance indicating strengths and areas of possible improvement. The final decision for the awarding of merit based compensation rests solely with the Head of the Department

Appointment: The merit review committee will consist of four faculty with primary appointments in BMBB who have not served on this committee in the past four years. Members will be elected by their respective divisions in the department; i.e. one each from the Microbial Biochemistry & Biotechnology, Molecular Biology, Regulatory Biochemistry, and Structural Biology & Biophysics divisions. Each member will serve a two-year term with two members of the committee being replaced every year. The chair will be elected by the committee at the first meeting from one of the two members serving in their second year on the committee. The chair will serve a single term and no division will hold this position in successive years; division leaders are excluded from this committ.↵

Committee members will absent themselves from all discussions of their own performance. Furthermore, all deliberations of the committee will be held in the strictest confidence and all materials used in the reviews will be returned to the Department Head at the completion of the committee's work.

Criteria for Merit-Based Compensation:

It is recognized that merit based compensation will be awarded to faculty considered to have performed meritoriously during the previous calendar year (i.e. January 1st – December 31st).↵ The Department Head will consider performance and salary raises in both the previous calendar year and years prior to that in determining the actual salary increase.

Standard Research and Teaching Profile: Meritorious performance will be defined by accomplishments in three areas with the relative weighting of each in brackets (reflecting percentage time commitments):

Research & Scholarship	(55%)
Teaching	(30%)
Service	(15%)

Teaching and Service Profile: Faculty members may, at a meeting with the Department Head in the year prior to evaluation, agree to take on a significantly greater teaching and advising role in the department. In this case, meritorious performance will be defined by accomplishments in two areas with the relative weighting of each in brackets:

Teaching	(70%)
Service	(30%)

The committee will derive a numerical score (1 low – 10 high) for each faculty member's performance in these areas. An average performance relative to that of all other faculty in the department would receive a score of 5. Faculty should strive to work in each of these areas.

Definition of Meritorious performance

Research and Scholarship:

The following types of accomplishments will be rewarded most highly: *in order?*

- 1) Publication quality and volume.
- 2)
 - a.) Federal funding at the national level.
 - b.) Total grant funding that exceeds the profile norm as a result of funding of additional awards, or renewal of this national funding.
 - c.) Funding at the national level by private foundations and agencies.
 - d.) Number of BA23 forms submitted.
- 3) Seminar invitations and symposium presentations.
- 4) A particularly noteworthy discovery that received national attention.
- 5) National and international recognition in the form of a prize, lectureship or special honor.
- 6) Other research-related distinctions.

Teaching:

The following types of accomplishments will be rewarded most highly:

- 1) Accepting a teaching load that is significantly greater than the profile norm.
- 2) Developing new course materials.
- 3) Author of a textbook or chapter.
- 4) Advising research students in your laboratory.
- 5) Winning or being nominated for a teaching award.
- 6) Developing a particularly innovative approach to teaching.
- 7) Directing a major restructuring of a course or series of courses.
- 8) Information regarding student and peer evaluation of teaching.
- 9) Course director.
- 10) Participation on student thesis committees.
- 11) Undergraduate advising.
- 12) Other teaching-related distinctions.

Ph.D. completion - when employed.

Service:

The following types of accomplishments will be rewarded most highly:

- 1) Leadership or particularly effective service on essential departmental committees, or in the operation of a departmental facility.
- 2) Effective service as a departmental, division or graduate program officer.
- 3) Selection and effective service on Medical School, College of Biological Science or University committees.
- 4) Selection and effective service on national committees including participation on NIH study sections, NSF panels, site visits, editorial review boards, as officers or committee members of our national societies, and as organizers for national and international meetings.
- 5) Other service at the national and international level that results from one's scholarly accomplishments.
- 6) Other service activities.

Dossier for Consideration for Merit-Based Compensation:

Each faculty member should submit the following:

Section A: A single page which highlights the faculty member's notable accomplishments during the past calendar year.

Section B: A standard questionnaire to be answered completely.

PLUS:

1. A current *curriculum vitae* in NIH format (two page limit).
2. An appendix to include substantiating documentation, e.g., reprints, preprints, course syllabi, teaching evaluations, etc.

[Please make sure you submit a copy of every published paper & book chapter as these will be assembled into a department portfolio.]

[The following are on the departmental server for downloading by the faculty.]

Merit Review: 1998 Calendar Year Accomplishments

Name:

Rank:

SECTION A: (One page limit)

(According to the criteria listed above, describe your notable accomplishments during the past calendar year)

SECTION B: (No page limit but attempt brevity and clarity.)**PART 1 Scholarship & Research:**

- 1) I. List your publications in peer-reviewed journals during the previous calendar year:
- a) In print or accepted for publication
 - b) Submitted
- II. As 1 in non peer-reviewed journals.
- III. Abstracts of meeting presentations.
- 2) a) Federal research grants (give title, period of award and, annual direct cost). *include role? role? p.i etc*
- b) All other grants (give title, period of award and, annual direct cost). "
- c) BA23 forms submitted (give agencies & period of award requested).
- 3) Invited presentations
- a) Intra-institutional
 - b) Extra-institutional
- 4) Noteworthy discovery that received national attention.
- 5) Prizes, lectureships, special honors or the like.
- 6) Other research related distinctions, e.g. patents (filed and issued).

PART 2 Teaching:

- 1.) Provide the following information regarding courses in which you have taught during the past calendar year and please provide a syllabus for each course or portion of course listed.

Course (name & number)	undergrad/ grad/professional	lecture/lab/recitation	# students	# contact hrs.
---------------------------	---------------------------------	------------------------	------------	----------------

-
- 2.) Describe any new course developments, innovations (attach pertinent course materials, web site URL listings etc.).
- 3) Student textbooks published.
- a) Intra-institutional
 - b) Extra-institutional

- 4) Research student advising [list numbers of students (undergrad, grad, post-docs etc.) and the frequency of meetings]. *complete*
- 5) Teaching awards and nominations.
- 6) Development of innovative approach^s to teaching.
- 7) Directing a major restructuring of a course or series of courses.
- 8) Information regarding student and peer evaluation of teaching.
- 9) Course director.
- 10) Student thesis committees on which you have served.
- 11) Undergraduate Advising.
- 12) Other teaching-related distinctions.

PART 3. Service.

- 1) I Departmental committees served on, indicating your role, i.e., member, chair, sub-committee chair, time-commitment, etc.
II Directorship of departmental facility
- 2) Departmental, division or graduate program officer (list committees and duties).
- 3) Service on Collegiate or University committees indicating your role and time commitment.
- 4) Service on national committees, e.g., peer review committees of federal or private funding agencies (describe role and time commitment).
- 5) Other service at the national and international level that results from one's scholarly accomplishments that would include:
 - a) Editorial review boards.
 - b) Reviewer for scholarly journals (list journals and total number of reviews).
 - c) Ad hoc reviewer for funding organizations
 - d) National societies in which you performed some official duty.
 - e) National and international meetings organized/chaired.
- 6) Other service activities.

School - private

UNIVERSITY OF MINNESOTA

Twin Cities Campus

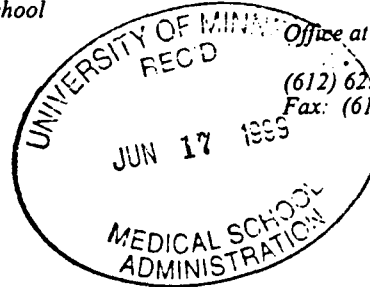
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June 10, 1999

TO: Dean Robert Howe
FROM: Leo T. Furcht, M.D. *LF*
Professor and Head
RE: Post-tenure review

Since March, the Laboratory Medicine and Pathology faculty has been in the process of designing the post-tenure review process for our department. We have purposely made this a faculty driven process and assisted only minimally in the process. Here is an update of their progress.

- On March 3 the Promotions Committee and Tenure Review Committee of the department, chaired by Khalil Ahmed, held a joint meeting to discuss the post-tenure review process. Dr. Mary Dempsey attended the meeting. The committees issued a joint report (enclosed) recommending several alternative approaches for the faculty.
- On April 29 the tenured faculty met and adopted a motion to have a single committee of nine faculty members representing anatomic pathology (3), clinical pathology (3) and research (3). We sent out a call for nominations on May 13. Election ballots were sent out to the faculty with a return no later than June 4.
- The faculty elected a post-tenure review committee to include Brent Clark, Jose Jessurun and Carlos Manivel from anatomic pathology, Miriam Segall, Donald Connelly and Michael Steffes from clinical pathology and Tucker LeBien, Matthew Mescher and Carol Wells from research.
- The committee will now meet to develop a specific set of guidelines to be adopted as goals and expectations for post-tenure review of faculty. These goals can then be presented to the tenured faculty and voted on. The department already has a review of faculty each year for compensation. The committee needs to decide if they want to use this process for annual tenured faculty review or have a separate process. We hope to have this committee meeting in the near future.

We will provide you with a complete plan as soon as it is available.

Cc: Jeanette Loudon

UNIVERSITY OF MINNESOTA

F41

Twin Cities Campus

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March 8, 1999

To: Leo Furcht, M.D., Allen-Pardee Professor and Head

From: Khalil Ahmed, Ph.D., Chair, Promotions Committee

The joint meeting of the Promotions Committee and Tenure Review Committee (Chaired by K. Ahmed) was held on 3 March 1999. The meeting was attended by Drs. Khalil Ahmed, John Eckfeldt, Patricia Ferrieri, Tucker LeBien, Carlos Manivel, Michael Steffes, Carol Wells, Brent Clark, William Gleason, Jose Jessurn, James McCarthy, and Yoji Shimizu.

Dr. Mary Dempsey attended the first part of the meeting and presented her view of the possible approaches to developing the policies and procedures for post-tenure review. The following describes the overall comments and conclusions that were arrived as a result of this meeting.

Recognizing that LMP is a complex department including activities related to clinical service, teaching at the medical school and graduate school level, and research, it was felt that it would be important to develop guidelines that meet the need of the various tracks of the faculty in the department. In general, the head of the department (or division head) is expected to review the progress report of each faculty member on an annual basis. This may not be practical on an ongoing basis. It would seem appropriate the division heads of the three major divisions in the department (namely, Anatomic Pathology, Clinical Pathology, and Research) would be responsible for the annual review and submit the conclusions to the department head, identifying cases that appear to be problematic. For example, Dr. Manivel could be responsible for the Anatomic Pathology, Dr. Eckfeldt for the Clinical Pathology and Drs. Orr, LeBien and Dr. Mescher would be responsible for the Research division. It appears that to some extent this is currently being done. However, there is need to formalize a number of activities to comply with the latest guidelines from the office of the Dean. The various actions that need to be taken are outlined below.

1. Each division should have in place an elected Annual Review Committee to review the case(s) that are identified by the division head and the department head to be problematic. The term of each member may be staggered to provide for change as well as continuity. An alternative to individual committees would be to have a single committee composed of an equal number of representatives from each division (preferably 7-9 members) representing different divisional interests. This committee could handle all the reviews that need to be evaluated at the request of the department head. The committee is to be elected by the process of nomination and vote by the entire tenured faculty. Yet another alternative would

be to have two committees, one dealing with the clinical track and the other with the research track faculty. The election of these would be along the same lines as above.

2. The departmental promotion guidelines may be used to develop a specific set of guidelines particular for each of the division tracks. This could include the Mission Statement for the activities of each track. These need to be developed and adopted as goals and expectations for the post-tenure review. The faculty and/or the divisions are expected to vote for the acceptance of these goals and expectations (majority vote is required for the approval of these guidelines). One or more special committee(s) may be given the task to develop these guidelines and expectation statements (e.g. for each division). Again, the members of these committees should be nominated and elected by the tenured faculty.
3. Once various guidelines are established, each of the reviewed faculty member should be made aware of the specific needs and expectations in relation to the activities and overall focus of the department, and if any changes are to be expected in those criteria. This may need to be done on an annual basis.
4. Emphasis of a faculty member's position may change over time; e.g., there may be greater emphasis on service activity or teaching activity and less research. These changes should be formally discussed and formalized with the faculty person involved.
5. It is suggested that the head of the department should provide a feedback on the final actions taken in response to the suggestions made by the various reviewing committees or the division heads.
6. It is suggested that the head of the department could use a committee (elected group) to discuss the general guidelines once a year.
7. It is suggested that an elected advisory group may serve on a consultative basis for planning areas of emphasis or de-emphasis in the departmental mission/activities.
8. The question of compensation plan for the research track (non-clinical) faculty needs to be addressed. It is assumed that the primary criteria for this are research and teaching. These criteria should be emphasized to each faculty member. It may be necessary to elaborate on how the teaching activity is judged. It would be appropriate that a mechanism of feedback to the review committee from the head is established in regard to the recommendations made by the review committee.

/KA

DEPARTMENT OF OTOLARYNGOLOGY
Post-Tenure Review
Procedures

- I. Establish Academic Plan
Develop measurable goals and expectations which will be established and mutually agreed upon by faculty member and Department leadership.

- II. Evaluation
 - A. Primary review of academic performance will be by the Department Head.
 - B. The result of that review will be a written statement signed by the Department Head. It will be of the form: "I have reviewed the goals and expectations for post-tenure review with Professor/Associate Professor Name and he/she meets or does not meet them."
 - C. In the case of a negative review, the Department Head will detail the deficiencies.
 - D. The Department Head will refer only the negative reviews to the Annual Post-Tenure Peer Review Committee of the Department. The Committee will follow the procedures of Section 7A of the Tenure Code.

- III. Annual Post-Tenure Review Committee

The tenured faculty members will serve as the Post-Tenure Review Committee.

v

DEPARTMENT OF OTOLARYNGOLOGY
POST-TENURE REVIEW

I. GENERAL GOALS AND EXPECTATIONS

In general, tenured faculty members should continue as active participants in the intellectual life and mission of the Department. The specific goals and expectations listed below should be interpreted with sufficient flexibility to allow for changing career patterns. While all tenured faculty members should be judged by these criteria, it is recognized that not all will fulfill each of these specific goals.

A. TEACHING

Teaching activities may occur in a variety of educational settings and formats, including: didactic presentations, lectures, seminars, conferences, tutorials, laboratories, advising of students, case discussions, grand rounds, hospital and clinic rounds, patient care, surgical and other procedures, continuing education.

The following are educational activities in which competence and accomplishments in teaching may be demonstrated:

1. Practical and classroom education of undergraduate medical students.
2. Practical and didactic education of medical residents and fellows.
3. Teaching and advising of professional students, including students in the M.D. curriculum and other professional educational programs.
4. Faculty advisor to post-M.D. residents (Medical Fellow Specialists or Medical Fellows), post-residency clinical fellows, visiting foreign post-doctoral fellows and faculty.
5. Practical and didactic education of colleagues and community physicians.
6. Service as a faculty mentor to students in undergraduate and graduate categories who engage in research activities within the Department.
7. Educational program leadership and curriculum innovation.
8. Demonstrated ability in teaching will be evidenced through pertinent written evaluations by students, by written statements by the Head of the Department or by others familiar with the candidate's teaching performance.

B. RESEARCH/SCHOLARSHIP

Scholarly activities of a faculty member will be evaluated according to the following standards:

1. Scientific Publications

Substantial contribution to high impact journals as well as first ranked journals in subspecialty areas.

2. External Research Funding

A tenured faculty member should be the recipient of grant (s) or contract (s) by designation as Principal Investigator, a major collaborator, or other similar title, from a national or regional granting agency which customarily utilizes scientific peer review as the primary basis for awards. Examples of granting agencies include, but are not necessarily limited to:

An institute of the National Institutes of Health, Public Health Service, or other similar federal agency or national foundation.

3. Publications in Monographs, Reviews and Other Books

Publications through these modalities are part of the scholarly activities of a faculty member, but cannot be considered as the sole basis for success in post tenure review.

4. Service as an Editor or member of the Editorial Board of a reputable journal or monograph in a biomedical discipline

5. Invited Participation in Symposia, Meetings and Seminars

Participation as invited faculty to a scientific symposium, meeting or lecture demonstrating recognition of expertise in a particular scientific field. Appropriate examples are the following: visiting professorships at major universities invited lectureships to professional organizations and honorary lectureships at universities or professional societies.

6. Service as a member of a peer review structure or competitive sponsored research support agency, such as an institute of the National Institute of Health, Public Health Service, or other similar funding agency.

C. CLINICAL

Clinical service, although not a primary criterion for successful post-tenure review, will be taken into consideration. Professional and high clinical standards should be evident. Specific goals can include:

1. Development of unique clinical programs.
2. Clinical mentorship to faculty.
3. Exemplary professionalism in the provision of clinical care.
4. Provide unique clinical expertise.
5. Leadership and development of nationally distinguished clinical programs.

D. ADMINISTRATIVE

1. Service on special committees and councils which develop policies and practices for graduate education and research at the University.
2. Service on special committees and councils which develop policies and practices for graduate education and research in the Department of Otolaryngology.
3. Membership on committees and councils must be approved in advance by the department chair if such service is to be recognized as part of the participant's job description.
4. Service in special assignments such as editorships, committee chairpersonships, associate deanships, etc., which will require extraordinary commitment of time and energy must have the chair's approval in advance if such assignment is to be considered part of the job description.

II. GOALS AND EXPECTATIONS FOR POST-TENURE REVIEW FOR ASSOCIATE PROFESSORS

As above for General Goals and Expectations.

III. GOALS AND EXPECTATIONS FOR POST-TENURE REVIEW FOR PROFESSORS

Continued adherence to the standards generated (above) on which promotion to Associate Professor was based, with respect to performance and accomplishments in teaching and research. Additional activity could include:

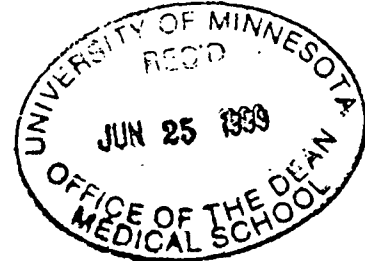
1. Establishment of a training program for pre-and/or postdoctoral fellows in a specific discipline that has resulted in the placing of trainees in academic positions.
2. Election to prestigious scientific and/or professional organizations which recognize excellence and significant academic contributions; membership on editorial boards, national review panels; holding of offices in national and international societies.

Twin Cities Campus

Department of Pharmacology
Medical School
Health Sciences

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MEMORANDUM



TO: Alfred F. Michael, M.D.
Dean of the Medical School

Robert B. Howe, M.D.
Associate Dean, Faculty and Graduate Affairs

FROM: Horace H. Loh, Ph.D.
Stark Professor and Head
Department of Pharmacology

RE: Post-Tenure Review Plan

DATE: June 23, 1999

Attached, please find the Post-Tenure Review Plan for the Department of Pharmacology, which was approved by a majority of the Pharmacology faculty members.

If you need additional information, please let me know.

DEPARTMENT OF PHARMACOLOGY

Post-Tenure Review

I. Goals and Expectations

1. Faculty member has continued to show evidence of scholarly high quality work that is published in peer reviewed journals.
2. He/she has maintained or shown evidence of seeking external research funding.
3. Participated as a lecturer, course organizer or director as part of the teaching function of the department.
4. Is involved in the training of graduate students in the department.
5. Has contributed service function(s) to the University, department or community. This may constitute committee or other work beneficial to the department of community in general.

✓ The standards for acceptance of the achievement of these goals should be flexible, recognizing changing career patterns. What is considered satisfactory performance in each of the above will depend on the role the faculty member plays in the department, and this will probably change during the course of his/her career.

- ### II.
- An annual post-tenure review of each tenured faculty member will be made by the department head, and if a member's performance is substantially below that deemed satisfactory, the elected post-tenure committee must review those cases.

If both the department head and faculty review committee find a faculty member's performance to be substantially below the goals and expectations of the unit, they will send a letter to the faculty member stating the deficiency(ies).

The Pharmacology Department must elect a peer faculty review committee every year to perform an annual post-tenure review of tenured faculty. This committee will not be involved with compensation decisions, but this will be under the purview of the department head.

It will be the responsibility of the post-tenure committee to conduct a special review, i.e., an intensive review of an individual faculty member when deemed necessary. A special review can be initiated only after the steps have been taken and the medical school dean has reviewed the file and determined such a review is appropriate.

UNIVERSITY OF MINNESOTA

Twin Cities Campus

Office of the Chairman
Department of Surgery
Medical School

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April 19, 1999

Robert B. Howe, M.D.
Associate Dean, Medical School
University of Minnesota
Box # 293 Mayo



RE: Post-tenure Review, Department of Surgery

Dear Dean Howe:

As requested, this is to inform you of the Department of Surgery's plans for post-tenure review. Addressed below are each of the major departmental requirements of the University's rules and procedures for post-tenure review.

- **Department Goals and Expectations**

The Department of Surgery currently has a document that outlines the overall expectations for department faculty, which has been distributed in the past to all faculty members and is given to all new faculty. I have attached a copy for your information. We are using this document as a basis for developing a specific post-tenure review goals and expectations document. I am asking that our current Department Advisory Council and Faculty Promotions & Tenure Committee, and the newly-elected Post-tenure Review Committee, review this and make recommendations for a Post-tenure Review Goals and Expectations document. We will then have all tenure-track and tenured faculty vote on the new document as defined in the University's rules and procedures.

- **Procedures for Annual and Special Reviews**

I will charge the Department of Surgery Advisory Council and the newly elected Post-tenure Review Committee with preparing procedures as defined under the University's rules and procedures in conjunction with the Department Goals and Expectations document. A faculty vote will be solicited from the tenure-track and tenured faculty for formal approval.

- **Post-tenure Review Committee**

We are currently in the process of obtaining a faculty vote from the tenure-track and tenured faculty for 5 members (may be tenured or tenure-track faculty), and 1 tenure-track faculty alternate to serve on the 1999-2000 Post-tenure Review Committee. These individuals will serve an annual term and will be eligible for re-election on an annual basis. The alternate will substitute for each tenured faculty committee member during that individual's own post-tenure review.

Handwritten notes: "1" and "Tenured" with a checkmark.

I expect to name the committee in early May based upon the departmental vote. This committee will work with the Department Advisory Council to prepare the goals and expectations and procedures for annual and special reviews, with the expectation that these will be completed and sent for formal faculty approval by the end of May.

I am also enclosing a copy of the "Department of Surgery Faculty Review Form." This is the current form used for the annual review of all Department of Surgery faculty. This form will be reviewed in conjunction with our final goals and expectations document to be sure that they are synchronous.

If you have any questions about the Department of Surgery's plans for implementing post-tenure review, please feel free to contact me. I will keep you apprised as we obtain formal faculty approval of each of the above mentioned items.

Sincerely yours,

A handwritten signature in black ink, appearing to read "D. L. Dunn", written over a horizontal line.

David L. Dunn, M.D., Ph.D.
Jay Phillips Professor and
Chairman of Surgery

Enc.: Department of Surgery Faculty Expectations
Department of Surgery Annual Faculty Review Form

DLD/mjt

Department of Surgery, University of Minnesota
Expectations of Faculty Performance

All faculty members of the Department of Surgery of the University of Minnesota¹ are expected to:

- support and foster all aspects of the academic mission of the Department of Surgery that encompasses teaching, clinical practice, research, and administrative duties. It is recognized that the degree of participation of individual faculty members in each of these areas will vary, but that each faculty member will strive to act as part of a cohesive team,
- attend and participate in departmental teaching activities including but not limited to formal conferences, ward rounds, small group teaching sessions, medical student lectures, research conferences, and symposia hosted or conducted by the Department,
- teach medical students, residents, and/or fellows and strive for excellence in teaching and meet the initiatives put forth by the Surgical Education Council and the directors of the various residency and fellowship training programs,
- interact in an appropriate and collegial fashion with other faculty and trainees as part of the departmental team,
- work with departmental administrative group and budget office personnel in a collegial fashion and seek to resolve any differences and to ensure ongoing communication and team work,
- provide open and ready access to currently occupied departmental space for departmental activities and/or initiatives, and
- comply with Department of Surgery, University of Minnesota Medical School, and University of Minnesota policies and directives.

¹ Note: expectations related to clinical care apply to those faculty who practice clinical surgery.

Department of Surgery Faculty Review July 1998 – June 1999

Academic goals to be completed by June 1999:

1.

2.

3.

Long Term Career Goals:

1.

2.

3.

Research:

Brief statement describing your research interests and projects, including the nature and significance of each project:

Publications: (June 1998 to June 1999)

- List of refereed and non-refereed articles (note: refereed articles must be either in a separate section or indicated by an asteric).
- Identify you role in, and specific contributions to, collaborative projects and multi-authored publications. Please code as follows:

D - Designed Study

P - Provided Patients or Samples

I - Initial Experimental Work

A – Analyzed Data

W – Wrote or Co-wrote Paper

Refereed and non-refereed articles:

Books and Book Chapters:

Accepted Abstracts:

List all current grant support: (Use additional sheets as necessary)

Title of research project:

Funding source:

Annual amount of funding for current fiscal issues:

Total current funding awarded/Total length of project:

Title of research project:

Funding source:

Annual amount of funding for current fiscal issues:

Total current funding awarded/Total length of project:

Title of research project:

Funding source:

Annual amount of funding for current fiscal issues:

Total current funding awarded/Total length of project:

List of research presentations: (Identify as oral, poster, plenary, or other)

Teaching:

List all courses taught:

Course and program development:

Advising and counseling activities: (list all current advisees)

If teaching in a department/unit other than Surgery, please describe role and enclose copy of any teaching evaluations:

Other:

Administrative/Service

Department Administrative Committees/Offices

Hospital/Medical School/Academic Health Center/Committees/University/
Responsibilities/Offices Held:

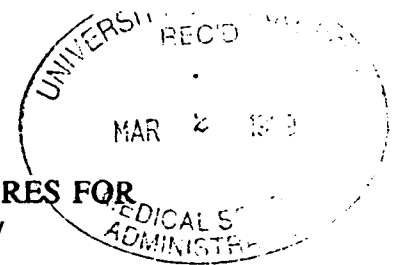
Professional Organizations Responsibilities/Offices Held:

List of participation in invited symposia:

Honors and Awards:

Community Service:

Other:



**DEPARTMENT OF DERMATOLOGY RULES AND PROCEDURES FOR
ANNUAL AND SPECIAL POST-TENURE REVIEW**

Academic unit must establish goals and expectations for all faculty members, including goals and expectations regarding teaching, scholarly productivity, and contributions to the service and outreach functions of the unit."

1. Each faculty member is expected willingly and continually teach medical students, residents, physicians, other health care professionals and the public about disorders of the skin, hair, nails, and mucous membranes and their treatment.
2. Each faculty member is expected to pursue scholarly activities including but not limited to research, writing for professional journals, seeking explanations for clinical problems, producing audiovisual educational material, developing new teaching methods, or performing outcome studies.
3. Each faculty member is expected to contribute to service and outreach functions including but not limited to service on committees, help evaluations students and residents, help recruiting faculty and residents, telemedicine or care patient care activities at off-site locations,
4. "Trade offs" between expectations are allowed.
For example, an increase in institutional activities can be traded off for reduced teaching or scholarly expectations.

Each academic unit must adopt procedures for conduct of the annual reviews required by compensation policies and tenure codes of the University.

1. Each April, each faculty member will submit to the department head a listing of accomplishments over the preceding April 1 to March 30 year. These should be grouped as follows:

Teaching: List regular recurring teaching such as teaching in clinics, journal clubs, lectures to sophomore medical school classes, etc. List other specially arranged teaching such as lectures to the departments, hospitals, universities, societies, etc.

Scholarly Productivity: List publications, abstracts, audiovisual productions, research findings, development programs, etc.

Contributions to service and outreach functions: List service on committees (department, hospital, university, professional organizations, etc.), recurring patient care responsibilities (clinics, rounds, etc.), outreach, special projects, etc.

2. Each April, each faculty member will outline goals and expectations for the next April 1 to March 30 year, in each of the categories noted above.

3. During the month of April, each faculty member will meet with the Head to review performance and expectations. According to tenure code, this review process must give faculty members an opportunity to provide relevant information and must provide them feedback about their performance. Their review will be designed to satisfy requirements for review relating to both tenure code and compensation policy.

4. The department head will be the person evaluating performance. If the Head believes performance has been "substantially below the goals and expectations of the unit", the Head must refer evaluation to the peer review committee for its input.

5.. As required by the tenure code, the department will have a "peer review committee." For the Department of Dermatology, this will be composed of all full time faculty in the Department at the University site.

UNIVERSITY OF MINNESOTA

Twin Cities Campus

*Department of Medicine
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MEMORANDUM

TO: Al Michael, M.D.
Dean, Medical School

FROM: Jonathan I. Ravdin, M.D.
Nesbitt Professor and Chair, Department of Medicine

Thomas H. Hostetter, M.D.
Chair, Promotions and Tenure Committee



DATE: June 24, 1999

RE: POST-TENURE REVIEW PROCESS

Enclosed are three documents recently approved by a vote of the tenured and probationary faculty in the Department of Medicine.

- ◆ The documents contain our new Post-Tenure Review Goals and Expectations statement and Procedures we plan to use for post-tenure review of faculty members.
- ◆ We also voted to approve revisions to our statement (in accord with Section 7.12 of the Tenure Code) used for Promotion and Tenure of faculty.

These documents are submitted to you for your review and approval. Please contact us if you have any questions. Thank you.

DEPARTMENT OF MEDICINE
Post-Tenure Review
Procedures

I. Establish Academic Plan

Developed with Division Director, measurable goals and expectations which will be established and mutually agreed upon by faculty member and Department leadership.

II. Evaluation

- A. Primary review of academic performance will be by the Division Director and the Chairman of the Department.
- B. The result of that review will be a written statement signed by the Division Director. It will be of the form: "I have reviewed the goals and expectations for post-tenure review with Professor/Associate Professor Name and he/she meets or does not meet them"
- C. In the case of a negative review, the Division Director will detail the deficiencies.
- D. The Chairman will review these statements and signify his agreement or disagreement with the Division Director by his signature. The Chairman will refer only the negative reviews to the Annual Post-Tenure Peer Review Committee of the Department. The Committee will follow the procedures of Section 7a of the Tenure Code.

III. Annual Post-Tenure Review Committee

The tenured and probationary faculty will elect a committee of at least six members who are tenured faculty. These tenured faculty will serve as a subset of the Promotion and Tenure Committee for the purpose of annual post-tenure review. Each will hold staggered four-year terms. Members are eligible for re-election for one additional consecutive four-year term.

DEPARTMENT OF MEDICINE Post-Tenure Review

I. General Goals and Expectations

In general, the tenured faculty members should continue as an active participant in the intellectual life and mission of the Department. The specific goals and expectations listed below should be interpreted with sufficient flexibility to allow for changing career patterns. While all tenured faculty members should be judged by these criteria, it is recognized that not all will fulfill each of these specific goals.

A. TEACHING

Teaching activities may occur in a variety of educational settings and formats, including: didactic presentations, lectures, seminars, conferences, tutorials, laboratories, advising of students, case discussions, grand rounds, hospital and clinic rounds, patient care, surgical and other procedures, continuing education.

The following are educational activities in which competence and accomplishments in teaching may be demonstrated:

1. Practical and classroom education of undergraduate medical students.
2. Practical and didactic education of medical residents and fellows.
3. Teaching and advising of professional students, including students in the M.D. curriculum and other professional educational programs.
4. Faculty adviser to post-M.D. residents (Medical Fellow Specialists or Medical Fellows), post-residency clinical fellows, visiting foreign post-doctoral fellows and faculty.
5. Practical and didactic education of colleagues and community physicians.
6. Service as a faculty mentor to students in undergraduate and graduate categories who engage in research activities within the Department.
7. Educational program leadership and curriculum innovation.

Demonstrated ability in teaching will be evidenced through pertinent written evaluations by students, by subspecialty Section Directors, written statements by the Head of the Department or by others familiar with the candidate's teaching performance.

B. RESEARCH/SCHOLARSHIP

Scholarly activities of a faculty member will be evaluated according to the following standards:

1. Scientific Publications

Substantial contribution to high impact journals as well as first ranked journals in subspecialty areas.

2. External Research Funding

A tenured faculty member should be the recipient of grant(s) or contract(s) by designation as Principal Investigator, a major collaborator, or other similar title, from a national or regional granting agency which customarily utilizes scientific peer review as the primary basis for awards. Examples of granting agencies include, but are not necessarily limited to:

An Institute of the National Institutes of Health, Public Health Service, or other similar federal agency or national foundation.

3. Publications in Monographs, Reviews and Other Books

Publications though these modalities are part of the scholarly activities of a faculty member, but cannot be considered as the sole basis for success post tenure review.

4. Service as an Editor or Member of the Editorial Board of a Reputable Journal or Monograph in a Biomedical Discipline

5. Invited Participation in Symposia, Meetings and Seminars

Participation as invited faculty to a scientific symposium, meeting or lecture demonstrating a recognition of expertise in a particular scientific field. Appropriate examples are the following: visiting professorships at major universities, invited lectureships to professional organizations and honorary lectureships at universities or professional societies.

6. Service as a member of a peer review structure or competitive, sponsored research support agency, such as an Institute of the National Institute of Health, Public Health Service or other similar funding agency.

C. CLINICAL

Clinical service, although not a primary criterion for successful post-tenure review, will be taken into consideration. Professional and high clinical standards should be evident. Specific goals can include:

1. Development of unique clinical programs.
2. Clinical mentorship to faculty.
3. Exemplary professionalism in the provision of clinical care.
4. Provide unique clinical expertise.
5. Leadership and development of nationally distinguished clinical programs.

II. Goals and Expectations for Post-Tenure Review for Associate Professors

As above for General Goals and Expectations.

III. Goals and Expectations for Post-Tenure Review for Professors

Continued adherence to the standards generated (above) on which promotion to Associate Professor was based, with respect to performance and accomplishments in teaching and research. Additional activity could conclude:

1. 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.
2. 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.

UNIVERSITY OF MINNESOTA
MEDICAL SCHOOL

CLINICAL SCIENCE DEPARTMENTS

Departmental Statement Required by Section 7.12
of Regulations Concerning Faculty Tenure

Department of Medicine

I. INTRODUCTORY STATEMENT

This document describes the specific criteria and standards which will be used to evaluate whether candidates meet the general criteria in Section 7.11 of the Regulations Concerning Faculty Tenure. For a complete perspective, the reader is advised to review Section 7 in its entirety. Section 7.11 is printed in its entirety in III. Criteria for Tenure (see below).

The criteria, standards and procedures are applied without regard to race, religion, color, sex, national origin, handicap, age, veteran status or sexual orientation.

II. MISSION STATEMENT

The mission of the Medical School is to conduct high quality programs of research, education, and service through which the college contributes significantly to the provision of excellent health care for the people of Minnesota.

The Department of Internal Medicine is committed to the overall objectives of the University of Minnesota and its Medical School in maintaining the highest standards of academic excellence in programs of undergraduate and graduate medical education, in the application of necessary clinical services to patients, continued medical education for physicians, and basic and applied research to clinical problems.

III. CRITERIA FOR TENURE

Section 7.11 of the Regulations Concerning Faculty Tenure states: "General Criteria. The basis for awarding indefinite tenure is the determination that the achievements of an individual have demonstrated the individual's potential to continue to contribute significantly to the mission of the University and to its programs of teaching, research and service over the course of the faculty member's academic career. The primary criteria for demonstrating this potential are effectiveness in teaching and professional distinction in research; outstanding discipline-related service contributions will also be taken into account where they are an integral part of the mission of the academic unit. The relative importance of the criteria may vary in different academic units, but each of the criteria must be considered in every decision.

The individual's participation in the governance of the institution and other services to the University and service to the academic unit may be taken into consideration, but are not themselves bases for awarding tenure.

Indefinite tenure may be granted at any time when 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 it appears that the appointee is not making satisfactory progress toward meeting the criteria within that period."

Standards for Tenure – Department of Medicine

The Department of Medicine accepts and subscribes to the statement on Criteria and Standards for Tenure of Faculty at the University of Minnesota Medical School, with the following standards specific to the department.

A. TEACHING

Teaching activities may occur in a variety of educational settings and formats, including: didactic presentations, lectures, seminars, conferences, tutorials, laboratories, advising of students, case discussions, grand rounds, hospital and clinic rounds, patient care, surgical and other procedures, continuing education.

The following are educational activities in which competence and accomplishments in teaching can be demonstrated:

1. Full participation in the practical and classroom education of undergraduate medical students.
2. Full participation in teaching and advising of professional students, including students in the M.D. curriculum and other professional educational programs.
3. 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.
4. Service as a faculty mentor to students in undergraduate and graduate categories who engage in research activities within the Department.

Demonstrated ability in teaching will be evidenced through pertinent written evaluations by students, by subspecialty Section Directors, written statements by the Head of the Department or by others familiar with the candidate's teaching performance.

B. RESEARCH/SCHOLARSHIP

Scholarly activities of a faculty member will be evaluated according to the following standards:

1. Scientific Publications

Substantial contribution to high impact journals as well as first ranked journals in subspecialty areas.

2. External Research Funding

A candidate should be the recipient of grant(s) or contract(s) by designation as Principle Investigator, a major collaborator, or other similar title, from a national or regional granting agency which customarily utilizes scientific peer review as the primary basis for awards. Examples of granting agencies include, but are not necessarily limited to:

An Institute of the National Institutes of Health, Public Health Service, or other similar federal agency or national foundation.

3. Publications in Monographs, Reviews and Other Books

Publications through these modalities are part of the scholarly activities of a faculty member, but cannot be considered as the sole basis for tenure.

4. Service as an Editor or Member of the Editorial Board of a Reputable Journal or Monograph in a Biomedical Discipline

5. Invited Participation in Symposia, Meetings and Seminars

Participation as invited faculty to a scientific symposium, meeting or lecture demonstrating a recognition of expertise in a particular scientific field. Appropriate examples are the following: visiting professorships at major universities, invited lectureships to professional organizations and honorary lectureships at universities or professional societies.

6. Service as a member of a peer review structure or competitive, sponsored research support agency, such as an Institute of the National Institute of Health, Public Health Service or other similar funding agency.

C. SERVICE

Service, although not primary criterion for tenure, will be taken into consideration in making decisions on tenure. Performance of service,

however exemplary, cannot substitute for the primary criteria, research and funding.

IV. PROMOTION

Standards for Promotion – Department of Medicine

The Department of Medicine accepts and subscribes to the statement on Criteria and Standards for Promotion of faculty at the University of Minnesota Medical School, with the following standards specific to the department.

A. To Assistant Professor

A candidate for promotion 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 preceptors and/or supervisors.

B. To Associate Professor

The criteria and standards for promotion to the rank of Associate Professor are those stated for consideration of tenure (see III above).

A recommendation for promotion to Associate Professor is made when an eligible faculty member has fulfilled the general criteria applicable to tenure, as stated in Section 7.11, and the specific criteria standards for promotion to Associate Professor (same as for tenure) as stated by the Medical School and the Department.

C. To Professor

A candidate for promotion to Professor is judged according to the following standards:

Continued adherence to the standards on which promotion to Associate Professor was based, with respect to performance and accomplishments in teaching and research, and, in addition,

1. 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.
2. 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.
3. 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.

V. PROCEDURES

In considering proposals for tenure and/or promotion in rank, the Medical School and its Departments comply with the procedures described in the document, "Procedures for Reviewing Performance of Probationary Faculty", distributed annually by the Vice President for Academic Affairs. These procedures are provided for by Sections 16.3, 7.4, and 7.61 of the Regulations Concerning Faculty Tenure.

The Medical School issues annually to each department, for distribution and information to faculty members, a set of instructions, memoranda, and other documents, giving detailed information on the procedures to be followed in the preparation and consideration of each proposal for tenure and/or promotion in rank. The pertinent documents are identified as exhibits enclosed with a cover memorandum from the Dean.

Designated non-tenured faculty members holding appropriate appointment and rank at affiliated hospitals are eligible to vote on proposals for promotion in rank of candidates, in accordance with approval for this procedure granted by the University Tenure Committee and the Vice President for Academic Affairs.

Twin Cities Campus

Department of Microbiology
Medical School

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612-624-6190
Fax: 612-626-0623
Internet: micro@lenti.med.umn.edu
<http://www.microbiology.med.umn.edu>

MEMORANDUM



DATE: February 24, 1999
TO: Alfred Michael, M.D., Medical School Dean
FROM: Ashley Haase ~~AH~~
RE: Post-Tenure Review Goals and Expectations and Procedures;
Merit Review and Compensation Policy;
Revised Promotions and Tenure Statement

I am enclosing with this memo three documents recently approved by a vote of the tenured faculty of my department. These documents are submitted to you for your review and approval.

1. The first document contains our new Post-Tenure Review Goals and Expectations statement and the Procedures we plan to use for post-tenure review of faculty members.
2. The second document concerns the merit and compensation policy approved by the faculty of the Department of Microbiology.
3. The third document is our revised statement [in accord with Section 7.12 of the Tenure Code] used for promotion and Tenure of Faculty.

ATH/clo

enclosures

**Department of Microbiology
University of Minnesota Medical School**

Post-Tenure Review Goals and Expectations:

The Department of Microbiology faculty voted to use the department's criteria for promotion and tenure [revised Tenure Code Section 7.12 Statement] with two modifications: (1) changing career patterns of tenured faculty, with increased emphasis on teaching with less emphasis on research; and (2) more explicit expectations.

With regard to the Procedures the Department of Microbiology will use for post-tenure review: The Department of Microbiology faculty voted to conduct the review process as follows:

1. In April of each year, faculty members will submit to the Department Head a summary of their activities in research, teaching and service for the past year and their proposed plans for work during the coming year and future plans.
2. The Department Head will meet with each tenure-track or tenured faculty member to discuss past performance and future plans. This meeting will constitute the faculty member's annual review for merit and compensation and post-tenure review. The Department Head will follow the requirements and criteria for each of these processes as approved by the faculty. Plans for the next year may involve a redistribution of effort agreed upon by the faculty member and Department Head. The Department Head will keep a brief note of the agreement and send a copy to the faculty member. This agreement will then serve as a basis for the faculty member's post-tenure and merit review the following year.
3. If the Department Head determines during a subsequent annual review that a faculty member's performance may be substantially below the goals and expectations of the department, the Department Head will refer the case to the department's elected Post-Tenure Review Committee. If this Committee and the Department Head agree that the faculty member's performance is substantially below the goals and expectations, they will follow the steps outlined in the Tenure code and "The Rules and Procedures for Post-Tenure Review".

In brief: (1) The faculty member will be notified by letter or memorandum signed by the Department Head and Review Committee members of the specific deficiencies and the time frame (by the next annual review) during which the problems should be addressed. During this time the Department Head and Review Committee should work with the faculty member to improve performance. (2) At the next annual review, if performance is still substantially below the Department of Microbiology's Post-Tenure Review Goals and Expectations, the Department Head and Review Committee can ask the Dean to initiate a special review (Section 7.13) by sending a letter or memorandum to the Dean with copies of relevant documents (cc'd to the faculty member).

4. The Post-Tenure Review Committee has 5 members and an alternate elected by the faculty of the Department of Microbiology for terms of two years. Four members are from the rank of Professor with tenure and one is from the rank of Associate Professor with tenure. None of the members holds an administrative appointment. The alternate is from the rank of Professor with tenure and will serve on the Review Committee in case a Committee member is the subject of a review by the Committee.

Department of Microbiology
FACULTY COMPENSATION POLICY*

BACKGROUND ON COMPENSATION AT THE UNIVERSITY OF MINNESOTA

Faculty are compensated for their contributions to teaching and advising, research and scholarship, and service to the institution and the state/region/nation/other nations, as well as their professions. Total compensation includes annual base salary plus fringe benefits, including retirement, health and dental coverage, and life and disability insurance. In some instances, annual base salary is augmented through internal sources, such as overload teaching, or from external sources in the case of approved external consulting.

Initial annual base salary is negotiated at the time of hire, with floors established for the instructor and assistant professor ranks only. Increases to annual base salary for faculty occur in the following ways: through annually determined merit increases; through acceptance of a retention offer that includes an increase; in conjunction with a promotion in rank and/or the awarding of indefinite tenure; through an augmentation attached to an administrative title or a set of administrative duties. For many faculty, annual base salary is supplemented with summer school or other internal summer employment, such as grant research. Annual base salary may also be supplemented internally during one's contract period through means such as extension teaching. Normally, new salaries go into effect for A base faculty on July 1 and for B base faculty on September 16 of each year.

The salary determination process must provide an objective unbiased evaluation of each faculty member following a thorough review of his/her work. The process must encourage continued good or improved performance, which in turn, should be rewarded by the compensation system.

CRITERIA FOR ANNUAL SALARY INCREASES AND PROMOTION

Any salary determination process at the University of Minnesota must be nondiscriminatory. Initial salary offers, periodic increases, and retention offers may not be based on considerations related to the race, color, creed, religion, national origin, sex, sexual preference, marital status, public assistance status, veteran status, or age of the person being considered.

The criteria for determining salary increases must be similar to those used for promotion and tenure. The tenure and promotion regulations of the University, adopted in 1985, provide the following instructions which form the framework within which salary decisions must be made:

7.11 GENERAL CRITERIA

The basis for awarding indefinite tenure is the determination that the achievements of an individual have demonstrated the individual's potential to continue to contribute significantly to the mission of the University and to its programs of teaching, research and scholarship, and service over the course of the faculty member's academic career. The primary criteria for demonstrating this potential are effectiveness in teaching and professional distinction in research; outstanding discipline-related service contributions will also be taken into account where they are an integral part of the mission of the academic unit. The relative importance of the criteria may vary in different academic units, but each of the criteria must be considered in every decision.

7.12 DEPARTMENTAL STATEMENT

The Department of Microbiology applies criteria used for promotion and tenure for increases to base salary for meritorious performance. Salary decisions are made by the Department Head based on review of the faculty member's summary of his or her accomplishments in research, teaching and service over the past year. Extraordinary increases to base salary in addition to increases for merit will be given for promotion from Assistant Professor to Associate Professor and from Associate Professor to Full Professor.

Listed below are examples of criteria used to evaluate performance beyond the expectations cited in the Departmental Statement Concerning Faculty Tenure.

A. Research/Scholarship

1. High citation indices; numerous publications in peer-reviewed journals; publications in *Science*, *Nature* and other high-profile journals with broad readership.
2. Multiple extramural grants and/or recognition such as MERIT, Outstanding Investigator, Javits awards.
3. Invited participation in symposia, meetings, seminars, particularly named lectureships.
4. Institutional and national recognition such as McKnight Professorship, named scholarships (Pew, Hughes, BWF, etc.); honors and awards, e.g., Bristol-Myers Squibb Award.
5. Election to prestigious organizations, e.g., National Academy of Sciences.
6. Patent awards.

B. Teaching

1. Publications, such as books, peer reviewed journal articles, audiovisual aids, and/or other significant contributions to educational advances in the discipline, that are distributed at a national level.
2. Letters from leading educators in the discipline attesting to the candidate's national reputation, and assessing the candidate's contributions to the development of advances in education in the field.
3. Leadership (such as by election to an officer position) in national organizations, such as the American Society for Microbiology, that have significant activities devoted to education and educational development.
4. Institutional and national recognition, e.g., Outstanding Teacher Award, Morse-Alumni Award.
5. Development of new courses, curricula, laboratories.

C. Service

Institutional and national leadership role, e.g., Director of Graduate Studies, national granting agency study section, NIH Council, conference/symposium/workshop organizer.

* Departmental policy based on policy approved by the University of Minnesota Faculty Senate on February 18, 1993 and Administration on April 26, 1993.

**UNIVERSITY OF MINNESOTA MEDICAL SCHOOL
BASIC SCIENCE DEPARTMENTS**

**Departmental Statement Required by Section 7.12
of Regulations Concerning Faculty Tenure**

DEPARTMENT OF MICROBIOLOGY

I. Introductory Statement

This document describes the specific criteria and standards which will be used to evaluate whether candidates meet the general criteria in Section 7.11 of the *Regulations Concerning Faculty Tenure*. For a complete perspective, the reader is advised to review Section 7 in its entirety. Section 7.11 is printed in its entirety in III. Criteria for Tenure (see below).

The criteria, standards and procedures are applied without regard to race, religion, color, sex, national origin, handicap, age, veteran status or sexual orientation. These same criteria are used for annual performance review and to determine annual salary increases.

II. Mission Statement

The mission of the Medical School is to conduct high quality programs of research, education, and service through which the college contributes significantly to the provision of excellent health care for the people of Minnesota.

The mission of the Department of Microbiology is to achieve and maintain preeminence in the discipline of microbiology through excellence in teaching and research.

III. Criteria for Tenure

General Criteria.

Section 7.11 of the *Regulations Concerning Faculty Tenure* states:

“The basis for awarding indefinite tenure is the determination that the achievements of an individual have demonstrated the individual’s potential to continue to contribute significantly to the mission of the University and to its programs of teaching, research, and service over the course of the faculty member’s academic career. The primary criteria for demonstrating this potential are effectiveness in teaching and professional distinction in research, outstanding discipline-related service contributions will also be taken into account where they are an integral part of the mission of the academic unit. The relative importance of the criteria may vary in different academic units, but each of the criteria must be considered in every decision.”

Departmental Criteria.

The Department of Microbiology accepts and subscribes to the statement on *Criteria and Standards for Tenure of Faculty at the University of Minnesota Medical School*, with the following standards specific to the department.

A. Research/Scholarship

Microbiology and the related discipline of immunology are research-oriented disciplines and thus tenure recommendations are based on excellent performance in research judged by the following standards:

1. Publications in Rigorously Peer-Reviewed Journals and Citation Indices

Scientific articles reporting high quality biomedical research that significantly advances the candidate's field of research should be published in rigorously peer-reviewed journals. Contributions to prestigious review journals, monographs, etc., that are not peer-reviewed will be taken into consideration, but cannot be the primary basis for a decision. Examples of peer-reviewed journals include, but are not limited to:

<i>Journal of Infectious Diseases</i>	<i>Journal of Virology</i>	<i>Science</i>
<i>Infection and Immunity</i>	<i>Journal of Bacteriology</i>	<i>Nature</i>
<i>Journal of Immunology</i>	<i>Immunity</i>	<i>Cell</i>
<i>Proceedings of the National Academy of Sciences</i>		

Publications in Monographs, Reviews and Other Books

Publications such as these, which are not generally peer-reviewed, should be part of the activities of a faculty member, but cannot be considered as the sole basis for tenure.

Service as an Editor or as a Member of the Editorial Board of a Reputable Journal or Monograph in a Biomedical Discipline

Service such as this usually indicates peer recognition for the candidate's contributions, but cannot be considered as the sole basis for tenure.

Expectations

- Generally, faculty members' laboratories are expected to generate an average of 1-3 research papers per year with additional recognition for highly cited articles.

2. External Research Funding

Expectations

- Faculty members in the Department of Microbiology are expected to maintain independent research programs funded extramurally by at least one grant from federal agencies, international agencies, or from private agencies appropriate to the discipline.

3. Invited Participation in Symposia, Meetings and Seminars

The research of faculty members is expected to be recognized by invitations from national and international scientific organizations and educational institutions to participate in symposia, meetings and conferences and to give seminars. However, this cannot be used as the sole criterion for tenure.

4. Peer Recognition of Creative and Significant Scholarly Contributions

Evidence will be sought from peers within the Department of Microbiology, the University, and from national and international leaders in the candidate's field of research that the candidate's contributions are scholarly, creative, and have contributed significantly to the advancement of the field. The assessments will also provide clear evidence of whether or not the candidate has a national or international reputation in the discipline of Microbiology.

B. Teaching

Expectations

- Faculty members will generally be expected to have primary or shared responsibilities for at least one lecture course of 30–40 hours. Instruction at a minimum should be judged competent. The Department of Microbiology accepts the *Criteria and Standards for Tenure of Faculty at the University of Minnesota Medical School* with respect to competence in teaching.

The following are areas in which competence in teaching can be demonstrated.

1. Participation in teaching and advising professional students (including students in the M.D. curriculum, pharmacy, dentistry, or other professional education programs) in the subject of Microbiology, and graduate students in Microbiology.
2. Service as a thesis adviser to candidates for advanced degrees (Master's degree and/or Ph.D.) in the discipline of Microbiology, or in interdisciplinary graduate programs.
3. Service and distinction as a faculty sponsor for a postdoctoral fellow(s) in Microbiology or in a collaborative research program.
4. Service as a faculty mentor to students in any of the above categories who engage in research activities in the Department of Microbiology.
5. Participation in teaching undergraduate (pre-baccalaureate) students, including students in other colleges of the University of Minnesota.

Competence in teaching is based on:

1. Review of courses taught, directed or developed by the candidate, at both undergraduate and graduate levels.
2. Degree candidates advised in both professional and graduate schools.
3. Evaluations by students.
4. Written statements by the Head of the department and others familiar with the candidate's teaching performance.

If distinction in teaching is to be considered to be the primary basis for tenure, competence in research will also be required.

Distinction in teaching is based on:

1. The four items given above as sources of evidence for assessment of competence in teaching.
2. Evaluation of publications, such as books, peer reviewed journal articles, audiovisual aids, and/or other significant contributions to educational advances in the discipline, that are distributed at a national level.
3. Letters from leading educators in the discipline attesting to the candidate's national reputation, and assessing the candidate's contributions to the development of advances in education in the field.
4. Participation in national organizations, such as the American Society for Microbiology, that have significant activities devoted to education and educational development. Evidence of leadership in such an organization (such as by election to an officer position) would be of particular value.

C. Service

Faculty members are expected to serve on one or more departmental committees of which search committees and the Committee on Graduate Studies in Microbiology, Immunology, and Molecular Pathobiology are the most important. However, committee service per se cannot be the sole basis for awarding tenure.

IV. Promotion

Departmental Criteria.

The Department of Microbiology accepts and subscribes to the statement on *Criteria and Standards for Promotion of Faculty at the University of Minnesota Medical School*, with the following standards specific to the department:

A. To Assistant Professor

Candidates for promotion to Assistant Professor are judged on the following standards:

1. Outstanding record and potential for research determined from:
 - a. Publications: number, quality and citation impact in peer-reviewed journals;
 - b. Quality of postdoctoral training and performance as a fellow from letters of recommendation, and;
 - c. Independent research plan with exciting but focussed goals likely to generate and sustain external funding.
2. Interest in and evidence of at least competence to teach microbiology/immunology.

B. To Associate Professor:

The criteria and standards for promotion to the rank of Associate Professor are those stated for consideration of tenure (see III. above).

A recommendation for promotion to Associate Professor is made when an eligible faculty member has fulfilled the general criteria applicable to tenure, as stated in Section 7.11, and the specific criteria and standards for promotion to Associate Professor (same as for tenure) as stated by the Medical School and the Department.

C. To Professor:

Candidates for promotion to Professor are judged on the following standards:

1. A truly international reputation in research or teaching as shown, for instance, by invitations to international symposia, election to prestigious scientific organizations, holding of offices in international societies.
2. Letters from authorities in the candidate's field attesting to the candidate's acknowledged national and international reputation. Letters are also requested from prestigious university faculty at other universities stating that the candidate would be eligible for promotion to Professor at their or similar outstanding institution.
3. Establishment of a training program for pre- and postgraduate trainees that has resulted in placing trainees in academic and industrial positions in their fields.

V. Procedures

University and Medical School

In considering proposals for tenure and/or promotion in rank, the Medical School and its Departments comply with the procedures described in the document *Procedures for Reviewing Performance or Probationary Faculty*, distributed annually by the Vice President for Academic Affairs. These procedures are provided for by Sections 16.3, 7.4 and 7.61 of the *Regulations Concerning Faculty Tenure*.

The Medical School issues annually to each department, for distribution and information to faculty members, a set of instructions, memoranda, and other documents, giving detailed information on the procedures to be followed in the preparation and consideration of each proposal for tenure and/or promotion in rank. The pertinent documents are identified as exhibits enclosed with a cover memorandum from the Dean.

Designated non-tenured faculty members holding appropriate appointment and rank at affiliated hospitals are eligible to vote on proposals for promotion in rank of candidates, in accordance with approval for this procedure granted by the University Tenure Committee and the Vice President for Academic Affairs.

Department of Microbiology

The Department of Microbiology requires a two-third majority vote of tenured faculty members of the Department (as defined below) as a prerequisite for a recommendation for tenure.

The Department of Microbiology requires a two-third majority vote of all members of the regular faculty (both tenured and non-tenured) senior in rank to the candidate as a prerequisite for a recommendation for promotion.

“Tenured faculty” of a department means the regular faculty members of that department who hold indefinite tenure in that department, without regard to their rank. It does not include persons who hold non-regular or adjunct appointments in that department, even if they have tenure in another department. It does not include persons with academic professional or administrative staff appointments, even if they have continuous appointments in those professional appointments.

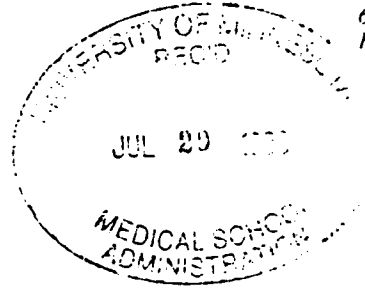
VI. Post-Tenure Expectations

The criteria and standards for promotion to the rank of Associate Professor and Full Professor will generally apply in evaluating performance of faculty members. Recognizing, however, that interests, emphases, and capabilities may change over the course of a productive career, the relative “weighting” of the criteria may also change. For example, a faculty member with a sustained lapse of extramural funding (> 2 years) could meet the expectations of the department by increased emphasis on teaching or extraordinary service commensurate to the effort previously devoted to research.

Twin Cities Campus

Department of Neurology
Medical School

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Fax: 612-625-7950



MEMORANDUM

TO: Al Michael, M.D.
Dean, Medical School

FROM: Gareth Parry, M.D.
Professor and Head, Department of Neurology

A handwritten signature in black ink, appearing to read "Gareth Parry".

DATE: July 2, 1999

RE: POST-TENURE REVIEW PROCESS

Enclosed are the "Procedures" and "Goals and Expectations" statements for post-tenure review approved by a vote of the tenured and probationary faculty in the Department of Neurology

These documents are submitted to you for your review and approval. Please contact me if you have any questions. Thank you.

DEPARTMENT OF NEUROLOGY
Post-Tenure Review
Procedures

I. Establish Academic Plan

Developed measurable goals and expectations which will be established and mutually agreed upon by faculty member and Department leadership.

II. Evaluation

- A. Primary review of academic performance will be by the Department Head.
- B. The result of that review will be a written statement signed by the Department Head. It will be of the form: "I have reviewed the goals and expectations for post-tenure review with Professor/Associate Professor Name and he/she meets or does not meet them"
- C. In the case of a negative review, the Department Head will detail the deficiencies.
- D. The Department Head will refer only the negative reviews to the Annual Post-Tenure Peer Review Committee of the Department. The Committee will follow the procedures of Section 7a of the Tenure Code.

III. Annual Post-Tenure Review Committee

The tenured faculty members will serve as the Post-Tenure Review Committee.

DEPARTMENT OF NEUROLOGY
Post-Tenure Review

I. General Goals and Expectations

In general, the tenured faculty members should continue as active participants in the intellectual life and mission of the Department. The specific goals and expectations listed below should be interpreted with sufficient flexibility to allow for changing career patterns. While all tenured faculty members should be judged by these criteria, it is recognized that not all will fulfill each of these specific goals.

A. TEACHING

Teaching activities may occur in a variety of educational settings and formats, including: didactic presentations, lectures, seminars, conferences, tutorials, laboratories, advising of students, case discussions, grand rounds, hospital and clinic rounds, patient care, surgical and other procedures, continuing education.

The following are educational activities in which competence and accomplishments in teaching may be demonstrated:

1. Practical and classroom education of undergraduate medical students.
2. Practical and didactic education of medical residents and fellows.
3. Teaching and advising of professional students, including students in the M.D. curriculum and other professional educational programs.
4. Faculty adviser to post-M.D. residents (Medical Fellow Specialists or Medical Fellows), post-residency clinical fellows, visiting foreign post-doctoral fellows and faculty.
5. Practical and didactic education of colleagues and community physicians.
6. Service as a faculty mentor to students in undergraduate and graduate categories who engage in research activities within the Department.
7. Educational program leadership and curriculum innovation.

Demonstrated ability in teaching will be evidenced through pertinent written evaluations by students, by written statements by the Head of the Department or by others familiar with the candidate's teaching performance.

B. RESEARCH/SCHOLARSHIP

Scholarly activities of a faculty member will be evaluated according to the following standards:

1. Scientific Publications

Substantial contribution to high impact journals as well as first ranked journals in subspecialty areas.

2. External Research Funding

A tenured faculty member should be the recipient of grant(s) or contract(s) by designation as Principal Investigator, a major collaborator, or other similar title, from a national or regional granting agency which customarily utilizes scientific peer review as the primary basis for awards. Examples of granting agencies include, but are not necessarily limited to:

An Institute of the National Institutes of Health, Public Health Service, or other similar federal agency or national foundation.

3. Publications in Monographs, Reviews and Other Books

Publications through these modalities are part of the scholarly activities of a faculty member, but cannot be considered as the sole basis for success post tenure review.

4. Service as an Editor or Member of the Editorial Board of a Reputable Journal or Monograph in a Biomedical Discipline

5. Invited Participation in Symposia, Meetings and Seminars

Participation as invited faculty to a scientific symposium, meeting or lecture demonstrating a recognition of expertise in a particular scientific field. Appropriate examples are the following: visiting professorships at major universities, invited lectureships to professional organizations and honorary lectureships at universities or professional societies.

6. Service as a member of a peer review structure or competitive, sponsored research support agency, such as an Institute of the National Institute of Health, Public Health Service or other similar funding agency.

C. CLINICAL

Clinical service, although not a primary criterion for successful post-tenure review, will be taken into consideration. Professional and high clinical standards should be evident. Specific goals can include:

1. Development of unique clinical programs.
2. Clinical mentorship to faculty.
3. Exemplary professionalism in the provision of clinical care.
4. Provide unique clinical expertise.
5. Leadership and development of nationally distinguished clinical programs.

II. Goals and Expectations for Post-Tenure Review for Associate Professors

As above for General Goals and Expectations.

III. Goals and Expectations for Post-Tenure Review for Professors

Continued adherence to the standards generated (above) on which promotion to Associate Professor was based, with respect to performance and accomplishments in teaching and research. Additional activity could include:

1. 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.
2. 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.

UNIVERSITY OF MINNESOTA

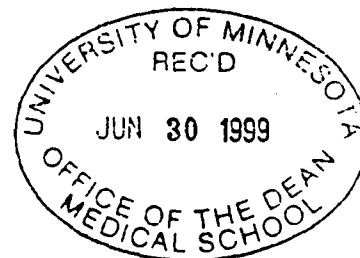
To Cheris

Twin Cities Campus

Department of Neuroscience
Medical School

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612-626-9200
Fax: 612-626-9201

June 25, 1999



TO: Robert B. Howe, M.D., F.A.C.P.
Associate Dean, Faculty and Graduate Affairs
Interim Director, Division of General Internal Medicine
Professor of Medicine

FROM: Timothy J. Ebner, M.D., and Ph.D. *TJE/JS*
Professor and Head
Department of Neuroscience

RE: Post Tenure Review

Per your request, I am reporting on the Post Tenure Review process for the Department of Neuroscience. Post tenure review will be held once per year in conjunction with Merit Review. The year will run as the academic year, with reviews due in to the Department Head by May 1. Enclosed please find a copy of the policy that was submitted to and approved by the Neuroscience faculty members on June 16, 1999. The Post Tenure/Merit Review Committee developed this policy based on the stipulations set forth by the Dean's office and the University Senate. Since the Department of Neuroscience does not become fully operative until July 1, 1999, implementation of the review process will take place in fiscal year 2000. If you need further information please contact me.

cc: Alfred F. Michael, M.D.
Alaine Siniff

**Post-Tenure Review Committee
Department of Neuroscience
University of Minnesota Medical School**

1. Statement of Goals and Expectations: The goals and expectations of tenured faculty in the Department of Neuroscience are guided by the Tenure Regulations of the University of Minnesota and the mission statements of the Medical School and of the Department of Neuroscience. Each of these statements emphasizes the triad of **Research, Education and Service** that comprise the faculty functions. All faculty are expected to contribute to each of the three elements of the triad, taking into account different stages of faculty development. Furthermore, it is recognized that not all faculty have equal strengths - strengths in one element of the triad may balance a weakness in another one.

The principal goal of an annual post-tenure review conducted by the departmental Post-Tenure Review Committee is to ensure continuation of high caliber performance following the granting of tenure. Thus the aim of the review is to identify potential faculty weaknesses at an early stage and to develop a plan for obviating these weaknesses before they become a detriment to an individual's effectiveness.

2. Statement of Procedures:

a) Composition and Election of the Post-tenure Review Committee: The Department Head will appoint the Chair of the committee. At least two other members of the committee will be elected by faculty whose primary appointment is in the Department of Neuroscience. Terms of appointment will be 3 years. *5/20/12*

b) Annual Reporting: Each faculty member shall submit an Annual Report detailing activities in the areas of Research, Education and Service and a statement of goals and plans for the next academic year. This report will form the basis for the evaluation for purposes of post-tenure review as well as for the annual merit review of each faculty member. Procedures for the merit evaluation are detailed in a separate document.

i) Research: Since research productivity (as evidenced by publications) may fluctuate, the reporting period for this area will cover the last 3 academic years. The report shall include: 1) publications, 2) presentations at national meetings and invited seminars, 3) active grant support, 4) applications for extramural grant support and 5) any other evidence of scholarly activity (such as patent applications).

ii) Teaching: This part of the report will comprise 1) a list of courses (or sections of a course) taught, 2) student and peer evaluations of teaching in these courses, 3) graduate and post-graduate student advising, and 4) any other evidence of contributions to the teaching mission of the Department. The reporting period will be for the current academic year.

iii) Service: The annual report will detail service to the Department, the Medical School, the University and the wider scientific community, such as service on 1) committees, 2) grant review boards, 3) editorial review boards (including ad hoc reviewing), 4) and outreach to the people of Minnesota. The reporting period will be for the current academic year.

c) Evaluation Procedure: The Post-Tenure Review Committee will review the annual reports with the aim of determining if the goals established at the previous annual review have been met. If the committee determines that a faculty member's publication record, record of grant support or teaching performance is substantially below the defined goals and expectations of the Department, a letter signed by the Department Head and the Chair of the committee outlining the deficiencies must be sent to the individual. The Chair of the committee will then meet with the individual, the Department Head and the Chair of the Faculty Development Committee to develop a plan to improve performance. The written plan would include specific goals and a timetable for achieving them. The plan must be signed by the Department Head and the faculty member. Subsequent annual evaluations would take into account the extent to which these goals have been met.

d) Procedures for Special Review: In an instance where performance was found to be substantially below the goals and expectations of the Department, and a subsequent annual evaluation by the Committee and the Department Head again finds that performance is "substantially below" the goals and expectations, they can ask the Dean of the Medical School to initiate a special review following procedures outlined in "Rules and Procedures for Annual and Special Post-tenure Review (May 5, 1998)".

UNIVERSITY OF MINNESOTA
MEDICAL SCHOOL

CLINICAL SCIENCE DEPARTMENTS

Post Tenure Review

Department of Neurosurgery

I. GOALS/EXPECTATIONS

The Department of Neurosurgery is committed to maintaining the overall objectives of the Medical School and the Academic Health Center of the University of Minnesota with respect to continuing excellence in undergraduate and graduate medical education. The faculty of the Department of Neurosurgery are expected to excel in the areas of research, teaching, and administrative service in a fashion and manner that will result in the award of indefinite tenure for their accomplishments. Faculty members in the Department of Neurosurgery that have been awarded tenure are expected to continue to pursue basic and clinical research investigation, to teach at all educational levels, and to fulfil administrative service responsibilities. Continued academic excellence is expected by tenured faculty at the ranks of both Associate Professor and Professor. The efforts of each faculty member will be reviewed by the Academic Unit/Department Head on an annual basis. The Academic Unit/Department Head will discuss the academic performance of each faculty member after completion of the review.

II. Outline for Annual Review

A. Teaching

1. Undergraduate

- a. Medical students
- b. Related Academic Health Center disciplines (e.g., public health, physical therapy, nursing)

2. Graduate

- a. Neurosurgical residency training program
- b. Residents from other departments

3. Continuing Medical Education

- a. Local/regional symposia participation (e.g., pediatric neuro-oncology)
- b. National symposia participation (e.g., Congress of Neurological Surgeons Annual Meeting, American Association of Neurological Surgeons Annual Meeting)

B. Research

1. Clinical

- a. Vascular
- b. Pediatric
- c. Neuro-oncologic
- d. Spinal
- e. Functional

2. Basic Science
 - a. Vascular
 - b. Neuro-oncologic
 - c. Movement disorders
 - d. Neural transplantation

C. Administrative Services

1. Academic Health Center
2. Medical School
3. Fairview Health Systems

III. Review Committee

Because of the small size of the Department of Neurosurgery, all faculty members serve on the Review Committee. The Review Committee will evaluate the performance of an individual faculty member when the academic performance is felt to be substantially below the goals and expectations of the Academic Unit by the Academic Unit/Department Head.

IV. Review Committee Meeting

The Academic Unit/Department Head will convene a meeting of the Review Committee at such a time when there is concern regarding the performance of an individual faculty member.

UNIVERSITY OF MINNESOTA

CC: AFM, CP

Twin Cities Campus

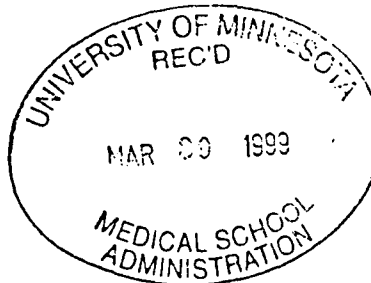
Department of Ophthalmology
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John E. Harris Ophthalmology Research
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2001 Sixth Street S.E.



March 25, 1999

TO: Cathy Muchow
Faculty Affairs
Medical School

FROM: Jean Niemiec *JN*
Administrative Director
Ophthalmology

RE: Post-tenure Review

Attached is the Department of Ophthalmology's draft plan for post-tenure review, as requested by your office. Dr. Krachmer has approved this draft for submission. We plan on taking a faculty vote for approval of this draft at the annual tenure review meeting on April 27, 1999.

The plan closely parallels our statement for tenure review. The following are highlights of the draft plan:

- Annual compensation and post-tenure review will be held at the same time.
- The chairman will conduct the reviews.
- The faculty review committee will consist of a Committee of the Whole.
- The faculty committee will review only those cases directed to them by the chairman that deal with performance "substantially below the goals and expectations of the unit."

If you have any questions, feel free to contact me at 5-4677.

Department of Ophthalmology

Faculty Post-Tenure Review
Statement of Goals, Expectations
and Procedures
March 1999

I. Introductory Statement

This document describes and establishes the goals and expectations for all faculty members relating to post-tenure review regarding teaching, scholarly productivity and contributions to the outreach functions of the department. This statement closely parallels the Department of Ophthalmology's statement for granting of tenure. This document is developed in compliance with Section 7a.1 of the Tenure Code.

II. Mission Statement

The mission of the Medical School is to conduct high quality programs of research, education, and service through which the college contributes significantly to the provision of excellent health care for the people of Minnesota.

The missions of the Department of Ophthalmology are teaching, research and provision of excellent clinical service. Primary academic missions of the department are to teach medical students, post-M.D. trainees (residents and fellows) and students in allied health programs and to advance knowledge in the specialty through basic scientific and clinical research endeavors. In their academic activities, some faculty members may concentrate on one or two of the three major missions (teaching/research/service), but all of the faculty must participate in all three of those functions to some extent. The standard is intended to be flexible to reflect the changing patterns of the faculty member's academic career and the needs of the department.

III. Goals and Expectations for Post Tenure Review

Section 7.11 of the Regulations Concerning Faculty Tenure states that "tenure is awarded on the determination that the achievements of an individual have demonstrated the individual's potential to continue to contribute significantly to the mission of the University and to its programs of teaching, research, and service over the course of the faculty member's academic career. The primary criteria for demonstrating this potential are effectiveness in teaching and professional distinction in research; outstanding discipline-related service contributions will also be taken into account where they are an integral part of the mission of the academic unit. The relative importance of the criteria may vary in different academic units, but each of the criteria must be considered in every decision."

The Department of Ophthalmology accepts and subscribes to the above statement on Criteria and Standards for Tenure in its goals and expectations for post-tenure review. The goals and expectations are flexible so that the faculty member and the department head may determine the most appropriate way to balance the career patterns of the faculty member and the needs of the department.

A. Teaching

Teaching activities may occur in a variety of educational settings and formats, including: didactic presentations, lectures, seminars, conferences, tutorials, laboratories, advising of students, case discussions, grand rounds, hospital and clinic rounds, patient care, surgical and other procedures, and continuing education.

The following are educational activities in which continuing competence and accomplishments in teaching can be demonstrated:

1. Participation and competence in teaching undergraduate (prebaccalaureate) students.
2. Participation and competence in teaching professional students, including students in the M.D. curriculum and other professional educational programs.
3. Service and distinction as a faculty adviser to post-M.D. residents (Medical Fellow Specialists or Medical Fellows), post-residency clinical fellows, or advanced degree candidates in medical disciplines, interdisciplinary programs or collaborative research programs.
4. Service as a faculty mentor or adviser to students in any of the above categories, including medical students in the clinical courses of the M.D. curriculum.
5. Service as a faculty mentor to students in any of the above categories who engage in research activities in the department.
6. Participation in teaching students in the certificate educational program in Orthoptics and for training ophthalmic technicians

B. Research/Scholarship

The continuing scholarly activities of a tenured faculty member will be evaluated according to the following standards:

1. Scientific publications

Scientific articles reporting quality biomedical research will continue to be published in appropriate peer-reviewed journals related to the discipline(s) of medicine.

2. External research funding

A tenured faculty member will continue to be the recipient of a grant(s) or contract(s) by designation as Principal Investigator, a major collaborator, or other similar title, from a national or regional granting agency which customarily utilizes scientific peer review as the primary basis for awards.

3. Publications, service and participation through the following modalities are part of the scholarly activities of a faculty member and indicate continuing contributions to the academic mission of the department:

Publications, monographs, reviews and other books; service as an editor or a member of the editorial board of a reputable journal or monograph in a biomedical discipline; invited participation in symposia, meetings and seminars.

- C. Service

Service, while not the primary criteria in the post-tenure review process, is part of the mission of the department. Performance of service may be determined between the faculty member and the department head to reflect the needs of the faculty member and the department.

- IV. Procedures

The Compensation Policy and Section 7A.2 of the Tenure Code requires academic units to review annually the performance of each faculty member who holds an appointment in that academic unit. This review process gives the faculty member an opportunity to provide relevant information and to receive feedback about his or her performance.

- A. Annual Review

1. The department chair must meet annually with each individual faculty member in the unit to receive and provide feedback on the faculty member's performance.

2. A single review process will be used to satisfy both the Compensation Policy and the Tenure Code.
3. The annual post-tenure review will normally take place in the spring, in the context of the annual compensation review.

B. Faculty Review Committee

1. A Committee of the Whole will review cases in which the department chair believes performance is "substantially below the goals and expectations of the unit". Its role will be limited to this aspect. The department chair will appoint a chair of the Committee of the Whole.
2. A Committee of the Whole will review only those cases concerning post-tenure review.

C. Performance Substantially Below Goals and Expectations

1. If during the course of post-tenure review the department chair believes a faculty member's performance is substantially below goals and expectations, as outlined above, the department chair must refer the case for review to the faculty Committee of the Whole.
2. If both the department chair and the Committee of the Whole find a faculty member's performance to be "substantially below the goals and expectations of the unit," they must send a letter or memorandum to the faculty member stating that finding. The letter must be signed by the department chair and by the chair of the committee. It must specify the deficiencies and set a time period (usually by the next annual review) during which the faculty member should address the identified problems. Both the department head and the committee should work with the faculty member to improve performance during that time.
3. At the end of the specified time both the department chair and the Committee of the Whole will again review the performance. If the finding is that performance is still "substantially below the goals and expectations of the unit," they can ask the Dean of the Medical School to initiate a special review. Special review is initiated by letter or memorandum from the department chair and the Committee of the Whole to the Dean of the Medical School and to the faculty member, setting out their findings with a copy of the documents they have reviewed.

D. Special Review

Special review is an intensive review of an individual faculty member. It can be initiated only after the steps above have been taken and only after the Dean of the Medical School has independently reviewed the file and determined that special review is appropriate. It is not a judicial or quasi-judicial proceeding; it is not an accusatory process. It is a further academic inquiry by colleagues to review performance.

The procedures for special review will be carried out according to Section 7a.3 of the Tenure Code.

UNIVERSITY OF MINNESOTA

CP, AFM
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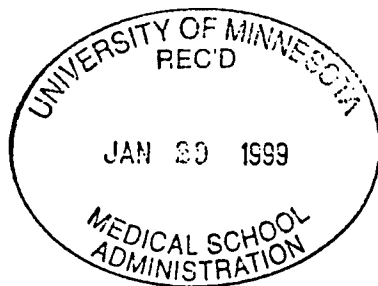
Twin Cities Campus

*Department of Orthopaedic Surgery
Medical School*

*Mail:
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420 Delaware Street S.E.
Minneapolis, MN 55455*

*Office:
350 Variety Club Research Center
401 East River Road
Minneapolis, MN 55455*

*612-625-1177
Fax: 612-626-6032*



January 25, 1999

Robert Howe, M.D.
Professor and Associate Dean
Faculty and Graduate Affairs
Medical School

Dear Dr. Howe:

The department of Orthopaedic Surgery tenured and tenure track faculty members as of date decided on the attached post tenure criteria used for evaluation. The criteria were unanimously approved by the tenured and tenured track faculty member. Please review the criteria with the rating system and advise of any changes.

If you should have any questions, you may contact me at 5-1177.

Sincerely,

A handwritten signature in cursive script, appearing to read "M. Swiontkowski".

Marc Swiontkowski, M.D.
Professor and Chair
Department of Orthopaedic Surgery

Post Tenure Review Policy Statement
Section 7a.3 Tenure Code

1. Elect every year a Peer Faculty Review Committee which reviews faculty performance of tenured faculty performance. The Committee would fulfill the functions of post-tenure review and review of compensation policy. The Committee would consist of Marc Swiontkowski, MD (Department Chair), Ted Oegema, Ph.D. (Committee Chair) and Jim Ogilvie, MD (secretary). This requires a vote of the tenured department faculty. A slate of nominees would be presented by the Department Chair.
2. Goals and expectations for tenured faculty members Department of Orthopaedic Surgery. These would provide flexible standards for institutional service, teaching, scholarly activity and clinical production, recognizing changing career patterns. A point system would be utilized and the expectation is that 6 points would be generated each year as a minimum for faculty performance.
 - a. Teaching
 - i. Didactic: resident, medical student and other AHC lectures; 1 point/lecture (max. 3)
 - ii. Student/resident evaluation and response: average or above; 1 point
 - b. Research
 - i. One peer review paper published per year: 2 points ✓
 - ii. Mentor resident research: 1 point per resident ✓
 - iii. Grant application for funded research: 1 point
 - iv. Abstract accepted for presentation: 1 point
 - v. Active program of clinical research (outcomes assessment): 2 points
 - c. Service
 - i. Out-state clinic, other primarily non-remunerative clinical service: 1 point/year
 - ii. Departmental, AHC, University committee: 1 point/year
 - iii. National committee (ORS, AAOS, etc): 1 point/year
3. Annual post-tenure review procedure: All information is "private data" under the Minnesota Data Privacy Act.
Post-Tenure Review summary:
Satisfactory-
If performance is "...substantially below the goals and expectations of the unit..." a plan for performance enhancement will be developed with the individual member. A letter of memorandum signed by the department head and committee chair stating the deficiencies and setting a timer period for addressing the deficiencies is sent to the faculty member. A "special review" may take place after the above and after an independent review by the dean's office.
Compensation Policy summary:
Task: Determine if the compensation is appropriate considering Department resources, financial production of the individual and augmentation constraints of the AHC.
 - A. Base salary
 - B. Augmentation for productivity
 - i. Clinical: Departmental and UMPHysicians' guidelines

ii. Research: Departmental guidelines

A letter is generated after the review affirming that the standards of the department have been fulfilled or listing actions to be taken.

4. It is suggested that the review occur each spring.
5. Action items:
 - a. Departmental vote for Committee. Fall 98
 - b. Confirm standards with tenured faculty. Fall 98
 - c. Generate an evaluation sheet to be used during the review to list point total. Fall 98.
Data can be retrieved from the annual activity summary.
 - d. Schedule reviews with faculty members. Spring 99
6. Distribution:
 - Roby C. Thompson, Jr. MD
 - Marc F. Swiontkowski, MD
 - Ted Oegema, Ph.D.
 - Jack Lewis, Ph.D.
 - James W. Ogilvie, MD
 - Liza A. Arendt, MD
 - Denis R. Clohisy, MD

Guidelines for Appointment or Promotion to Associate Professor of Orthopaedics:

A faculty member should have the enthusiastic support of the chairman gained by a record of meaningful contributions to the Department, ~~School of Medicine~~ and the University of Minnesota. In addition, the following guidelines should be met. While exceptions may be considered based on unusual strength in certain dimensions, these exceptions should be rare.

I. Scholarship: The individual must have made important scholarly contribution to his or her field as documented by:

- A) At least twelve major articles published or accepted by high quality peer reviewed journals. The candidate should be first author on at least half of these. Case reports and publications in non-peer review journals carry less weight.
- B) Evidence that the candidate is viewed as a scholar and respected authority by peers in his/her fields, for example:
 - 1. Requested presentations at meetings of learned societies.
 - 2. Outside funding for research.
 - 3. Letters from disinterested national reviewers indicating substantial contributions to the field.

Education and program development activities, book chapters, review articles, CME courses, and other educational material will also be considered.

II Teaching: Excellence in teaching is indicated by:

- A) A record of substantial teaching in local and national courses.
- B) Satisfactory teaching evaluations by those being taught, as well as by peers.
- C) Supportive letters from students, residents, and physician registrants in CME courses.

III Clinical Care: Excellence in clinical care is indicated by:

- A) Appropriate specialty board certification.
- B) A significant clinical work load.
- C) Good clinical results.
- D) Garnering of a substantial referral practice.
- E) Excellence collegial relationships.
- F) Supportive letters from medical directors, colleagues, and referring physicians.
- G) Regular participation in department clinical conference and quality assurance meetings.

IV Administrative Leadership: Evidence of participation in University, School of Medicine and/or departmental committees is required.

Guidelines for Appointment of Promotion to Professor:

A faculty member should have the enthusiastic support of the chairman gained by a record of meaningful contributions to the Department, School of Medicine and the University of Minnesota. In the situation of a new appointee, evidence of analogous contributions at a comparable institution is expected. In addition, the following guidelines should be met. While exceptions may be considered based on unusual strength in certain dimensions, these exceptions are rare.

I Scholarship: The individual must have significantly advanced his or her field by sustained productivity and defined areas as documented by:

- A) At least 25 major articles published or accepted by high quality, peer reviewed journal. First authorship or senior authorship is expected on at least 15 of these. Articles of substantial clinical impact may receive greater weight. Case reports and publication in non-peer reviewed journals carry less weight. Educational and program development activities, book chapters, review articles, CME courses, and other educational materials are considered as well.
- B) Evidence that the candidate is viewed nationally and internationally as a scholar and respected authority by peers in his or her field, for example:
 - 1. Invited authorship in major text.
 - 2. Requested presentation at meetings of learned societies (national and international).
 - 3. Guest lectureships.
 - 4. Committee positions in national and international organizations.
 - 5. Awards from peer organizations.
 - 6. Obtaining sustained funding for research from competitive sources.
 - 7. Letters from disinterested national and international reviewers indicating substantial contributions to the field.

II Local Leadership: The individual must have provided substantial leadership at the Departmental, Hospital, School of Medicine, and University levels as documented by:

- A. Committee chairmanships/memberships (department, medical centers, school, university).
- B. Special organizational activities.
- C. Mentorship of junior faculty.
- D. Promotion of relationships with the local and regional community.
- E. Dedication to the missions to the University of Minnesota.

Guidelines for Appointment of Promotion to Professor
Page 2 of 2

III Teaching: It is important that the quantity of teaching be sustained.

- A. Substantial teaching in local and national courses with favorable evaluations.
- B. Satisfactory teaching evaluations by those being taught, as well as by peers.
- C. Supportive letters from students, resident, and physician registrants in CME courses.

IV Clinical Care: It is essential that the potential candidate be viewed as a role model clinician:

- A. Appropriate speciality board certification.
- B. A significant clinical workload.
- C. Good clinical results as documented by participation in clinical outcomes assessment program.
- D. Garnering of a substantial referral practice.
- E. Excellent collegial relationships.
- F. Supportive letters from medical directors, colleagues, and referring physicians.
- G. Regular participation in departmental clinical conferences, and quality assurance meetings.

V Administration: It is expected that individuals who are candidates for promotion to the rank of full professor will have a documented record of sustained contribution to the administrative activities of the department.

7.12 DEPARTMENT OF ORTHOPAEDIC SURGERY

I. MISSION STATEMENT

The mission of the Medical School is to conduct high quality programs of research, education, and service through which the college contributes significantly to the provision of excellent health care for the people of Minnesota.

The Department of Orthopaedic Surgery is committed to the overall objectives of the University of Minnesota and its Medical School in maintaining the highest standards of academic excellence in programs of undergraduate and graduate medical education, in the application of necessary clinical services to patients, continued medical education for physicians, and basic and applied research to clinical problems.

II CRITERIA FOR TENURE

Section 7.11 of the Regulations Concerning Faculty Tenure states: "General Criteria. The basis for awarding indefinite tenure is the determination that the achievements of an individual have demonstrated the individual's potential to continue to contribute significantly to the mission of the University and to its programs of teaching, research, and service over the course of the faculty member's academic career. The primary criteria for demonstrating this potential are effectiveness in teaching and professional distinction in research; outstanding discipline-related service contributions will also be taken into account where they are an integral part of the mission of the academic unit. The relative importance of the criteria may vary in different academic units, but each of the criteria must be considered in every decision.

The individual's participation in the governance of the institution and other services to the University and service to the academic unit may be taken into consideration, but are not in themselves basis for awarding tenure.

Indefinite tenure may be granted at any time when 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 it appears that the appointee is not making satisfactory progress toward meeting the criteria within that period.

Standards for Tenure - Department of Orthopaedic Surgery

The Department of Orthopaedic Surgery accepts and subscribes to the statement on Criteria and Standards for Tenure of Faculty at the University of Minnesota Medical School, with the following standards specific to the department;

A. TEACHING

Teaching activities may occur in a variety of educational settings and formats, including: didactic presentations, lectures, seminars, conferences, tutorials, laboratories, advising of students, case discussions, grand rounds, hospital and clinic rounds, patient care, surgical and other procedures, continuing education.

The following are educational activities in which competence and accomplishments in teaching can be demonstrated:

- A. Meaningful participation in the organized educational programs of the Department.
- B. Participation and competence in teaching professional students, including students in the M.D. curriculum, or 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, or advanced degree candidates in medical disciplines, interdisciplinary programs or collaborative research programs.
- D. Service as a faculty mentor or adviser to students in any of the above categories, including medical students in the clinical courses of the M.D. curriculum.
- E. Service as a faculty mentor to students in any of the above categories who engage in research activities in the Department.

B. RESEARCH/SCHOLARSHIP

Scholarly activities of a faculty member shall be evaluated according to the following standards:

1. Scientific Publications

Scientific articles reporting original research published in peer-reviewed journals in the field of medicine.

Peer-reviewed journals that are appropriate to the discipline include:

- American Orthopaedic Association Journal*
- Cancer*
- Clinical Orthopaedics and Related Research*
- Journal of Biochemistry*
- Journal of Bone and Joint Surgery*
- Journal of Hand Surgery*
- Journal of Mechanical Engineering*
- Journal of Orthopaedic Research*
- Lancet*
- Nature*
- New England Journal of Medicine*
- Spine*

2. External Research Funding

A candidate should be the recipient of a grant or other designation as Principal Investigator, or as a significant collaborator, or other similar designation from a federal agency which customarily awards grants on a merit basis for awards. Examples of agencies are limited to:

- An institute of the National Institutes of Health
- Or other similar federal agency
- The Orthopaedic Research and Education Foundation
- A unit of affiliate of the American Orthopaedic Association

A unit or affiliate of the Arthritis Foundation
A unit or affiliate of the March of Dimes
National Science Foundation
Merit Review from the Veteran's Administration

3. Publications in Monographs, Reviews and Other Books

Publications through these modalities are part of the scholarly activities of a faculty member, but cannot be considered as the sole basis for tenure.

Examples included, but are not necessarily limited to:

Orthopaedic Clinics of North America
Instructional Course Lectures of AAOS

4. Service as an Editor or a member of the Editorial Board of a reputable Journal of Monograph in a Biomedical Discipline

Examples of appropriate journals included, but are not necessarily limited to those listed in 1 above.

5. Invited participation in Symposia, Meetings, and Seminars

Faculty members should be invited by national and internal scientific organizations to participate in symposia and meetings and should be invited to give seminars before peers in other institutions both nationally and internationally. However, this cannot be used as the sole criterion for tenure.

C. SERVICE

Service, although not a primary criterion for tenure, will be taken into consideration in making decisions on tenure. Performance of service, however exemplary, cannot substitute for the primary criteria, research and teaching.

III. PROMOTION

The Department of Orthopaedic Appointments and Promotions Committee and Post Tenure Review Committee will meet the first week in September. This committee will include all elected regular faculty of superior rank to that of the potential candidate. Prior to this meeting the members of the A & P Committee will be provided with copies of the promotion package and all referee letters.

The Chair's letter will be submitted to the School of Medicine Appointment and Promotion Committee by September 15th. This will contain the promotion package. All letters received from referees the Chairmans description of the candidates strengths and weakness, and an explanation of non-positive votes from the Department A & P Committee.

The School of Medicines' A & P Committee will evaluate the package in the fall and may require the Chair to meet with them to discuss the candidacy.

The results of the School's evaluation will be forwarded to the Provost's office and then the evaluations of the Provost's office are forwarded to the Board of Regents.

A. CRITERIA FOR FACULTY APPOINTMENTS IN ORTHOPAEDICS

Appointment to the rank of Assistant Professor requires completion of clinical training to meet the requirements for the American Board of Orthopaedic Surgery of a Doctoral Degree with substantial research experience. Appointment to this rank demonstrates a clear commitment of the individual to a career in Academic Orthopaedics. Individuals being proposed to the rank of Assistant Professor should provide evidence of a commitment to scholarship (including research) and teaching. Documentation of skill in teaching and research must be available in Curriculum Vitae and from letters of support from nationally know orthopaedic physician scientists. Physicians must demonstrate excellence in the practice of their speciality.

Research Assistant Professor, Research Associate Professor and Research Professor:

Research Associate Professor and Research Professor are reviewed in the same manner as regular academic ranks. Please note however, that individuals with research post doctoral ranks are not required to teach but are encouraged to do so.

B. GUIDELINES FOR APPOINTMENT OR PROMOTION TO ASSOCIATE PROFESSOR OF ORTHOPAEDICS

A faculty member should have the enthusiastic support of the chairman gained by a record of meaningful contributions to the Department, School of Medicine and the University of Minnesota. In addition, the following guidelines should be met. While exceptions may be considered based on unusual strength in certain dimensions, these exceptions should be rare.

- I. Scholarship:** The individual must have made important scholarly contribution to his or her field as documented by:
- A. At least twelve major articles published or accepted by high quality peer reviewed journals. The candidate should be first author on at least half of these. Case reports and publications in non-peer review journals carry less weight.
 - I. Evidence that the candidate is viewed as a scholar and respected authority by peers in his/her fields, for example:
 - 1. Requested presentations at meetings of learned societies.
 - II. Outside funding for research.
 - III. Letters from disinterested national reviewers indicating substantial contributions to the field.

Education and program development activities, book chapters, review articles, CME courses, and other educational material will also be considered.

II Teaching: Excellence in teaching is indicated by:

- 1. A record of substantial teaching in local and national courses.
- 2. Satisfactory teaching evaluations by those being taught, as well as by peers.
- 3. Supportive letters from students, residents, and physician registrants in CME courses.

III Clinical Care: Excellence in clinical care is indicated by:

- A. Appropriate specialty board certification.
- B. A significant clinical work load.
- C. Good clinical results.
- D. Garnering of a substantial referral practice.
- E. Excellent collegial relationships.
- F. Supportive letters from medical directors, colleagues, and referring physicians.
- G. Regular participation in department clinical conference and quality assurance meetings.

IV Administrative Leadership: Evidence of participation in University, School of Medicine and/or departmental committees is required.

C. GUIDELINES FOR APPOINTMENT OF PROMOTION TO PROFESSOR

A faculty member should have the enthusiastic support of the chairman gained by a record of meaningful contributions to the Department, School of Medicine and the University of Minnesota. In the situation of a new appointee, evidence of analogous contributions at a comparable institution is expected. In addition, the following guidelines should be met. While exceptions may be considered based on unusual strength in certain dimensions, these exceptions are rare.

I Scholarship: The individual must have significantly advanced his or her field by sustained productivity and defined areas as documented by:

- 1. At least 25 major articles published or accepted by high quality, peer reviewed journal. First authorship or senior authorship is expected on at least 15 of these. Articles of substantial clinical impact may receive greater weight. Case reports and publication in non-peer reviewed journals carry less weight. Educational and program development activities, book chapters, review articles, CME courses, and other educational materials are considered as well.
- 2. Evidence that the candidate is viewed nationally and internationally as a scholar and respected authority by peers in his or her field, for example:
 - 1. Invited authorship in major text.
 - 2. Requested presentation at meetings of learned societies (national and international).

3. Guest lectureships.
4. Committee positions in national and international organizations.
5. Awards from peer organizations.
6. Obtaining sustained funding for research from competitive sources.
7. Letters from disinterested national and international reviewers indicating substantial contributions to the field.

II Local Leadership: The individual must have provided substantial leadership at the Departmental, Hospital, School of Medicine, and University levels as documented by:

- A. Committee chairmanships/memberships (department, medical centers, school, university).
- B. Special organizational activities.
- C. Mentorship of junior faculty.
- D. Promotion of relationships with the local and regional community.
- E. Dedication to the missions to the University of Minnesota.

III Teaching: It is important that the quality of teaching be sustained.

- A. Substantial teaching in local and national courses with favorable evaluations.
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- E. Excellent collegial relationships.
- F. Supportive letters from medical directors, colleagues, and referring physicians.
- G. Regular participation in departmental clinical conferences, and quality assurance meetings.

- V **Administration:** It is expected that individuals who are candidates for promotion to the rank of full professor will have a documented record of sustained contribution to the administrative activities of the department.

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UNIVERSITY OF MINNESOTA

Medical School

Office of the Chairman
Department of Pediatrics

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Minneapolis, MN 55455

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Fax: 612-626-6601
E-mail: junse001@ic.umn.edu

March 29, 1999

Robert B. Howe, MD
Associate Dean, Faculty and Graduate Affairs
Interim Director, Division of General Internal Medicine
Professor of Medicine
Box 293

RE: Post-Tenure Review

Dear Bob,

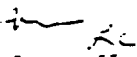
I have read the rules and procedures for annual and special post-tenure review at the University of Minnesota. In addition, I met with Professor Mary Dempsey to review the policies and procedures of the Department of Pediatrics. Our procedures are as follows. Each spring the Head of the Department of Pediatrics meets with each Division Director to review each faculty member within that division. This review focuses on the academic, administrative and clinical functioning and accomplishments of the faculty. If, during the course of this discussion, there are issues regarding the performance of an individual faculty member, they are addressed either directly by the Department Head or through the Division Director. This review of faculty members is independent of any discussions regarding salary and budget.

If, during the course of discussions, it is evident that a faculty member, because of changes in the scientific discipline or in their own interest, is experiencing difficulties in making the transition, the Department Head and the Division Director will take actions or establish mechanisms by which the faculty member can modify their academic activities so they can continue to be a productive member of the faculty.

Should there performance which is substantially below the goals and expectations of the Department and Division, this individual would be reviewed by an elected peer-review committee.

The Department of Pediatrics has elected a peer-review committee of two professors and one associate professor. These individuals will serve on staggered three-year terms. Following your approval of our plan, I will notify the faculty members.

Sincerely,


James H. Moller, MD
Professor and Chairman
Department of Pediatrics
Paul F. Dwan Professor in Pediatric Cardiology

**Department of Pediatrics
Post-Tenure Review Committee
March 24, 1999**

The purpose of this Post-Tenure Review Process Committee is to provide continued guidance for the career development of faculty members once they have received tenure. It includes an aspect of allowing flexibility for change in academic focus and activities. The Post-Tenure Review Committee will be called upon, in the rare circumstance, that an individual faculty member falls substantially below goals and expectations. The purpose of the committee, if needed, would be to make plans to assist the faculty member to improve their performance.

Post-Tenure Review Committee Members

S. Michael Mauer, MD	(2000) (1-year term)
Sarah Jane Schwarzenberg	(2001) (2-year term)
Norma Ramsay	(2002) (3-year term)

Twin Cities Campus

Program in Occupational Therapy
Department of Physical Medicine
and Rehabilitation
Medical School

Box 388
420 Delaware Street S.E.
Minneapolis, MN 55455
Office:
271 Children's Rehabilitation Center
426 Church Street S.E.
612-626-5887
Fax: 612-625-7192

May 9, 1999

Dear Dr. Howe:

The tenured faculty of the Department of Physical Medicine and Rehabilitation (the Department) have unanimously voted to accept the following criteria for post-tenure review.

1. The members of the Department Tenure and Promotions Committee will serve as the unit for review of tenured faculty. This is the 'committee of the whole.'
2. The committee voted, however, to vest authority in each program director (Occupational Therapy and Physical Therapy) for review of faculty in those divisions. The Department Chair will conduct the review of program directors and other tenured faculty who are part of the department but not on the occupational or physical therapy faculties. If a review is satisfactory, the process ends at this point with appropriate documentation placed in that faculty member's file.
3. The annual post-tenure review will be held each spring, at the same time as review for compensation (merit increase).
4. The criteria used for post-tenure review will be the same criteria currently used to assess progress of tenure-track faculty members in the department. This is department (vs. division) specific. (See attached)
5. All faculty will submit a summary of previous year efforts and accomplishments in teaching, research and service and a listing of annual goals and expectations. Goals and expectations are developed in consultation with one's supervisor. The standard format currently in use for OT and PT faculty will be used by all tenured faculty in the Department.
6. The Department Chair and Program Directors may accept unsolicited letters documenting exceptional performance and/or areas of concern regarding faculty. These letters, if copied to the involved faculty member by the sender, may also be used in post-tenure review. Verbal (vs. written) reports will not be used in this review.
7. If a review determines that a faculty member is performing 'substantially below goals and expectations,' all members of the committee (excluding the faculty member in question) will review the materials supplied by the faculty member in question and the Program Director or Department Chair that had performed the original review. A two-thirds majority vote of all members, whether present or absent, will determine if the reviewed performance is satisfactory. If so, the review ends at this point. If 2/3 of the members vote that there has been "sustained refusal or failure to perform reasonably assigned duties adequately", a report and supporting materials are forwarded to the Dean of the Medical School for special review.

Sincerely,



Judith Reisman, PhD, OTR
Chair, Promotions and Tenure Committee

UNIVERSITY OF MINNESOTA
MEDICAL SCHOOL

DEPARTMENTAL STATEMENT
REQUIRED BY SECTION 7.12 OF
REGULATIONS CONCERNING FACULTY TENURE
DEPARTMENT OF PHYSICAL MEDICINE AND REHABILITATION

January, 1992

I. Introductory Statement

The primary measure of excellence of an educational institution is the quality of its faculty. The degree of foresight and wisdom in making faculty appointments, promotion and the granting of tenure are primary determinants of the distinction which a program achieves. It is the responsibility of the faculty to show concern for and to participate in this process, to identify and reward peers who demonstrate a commitment to the advancement and communication of knowledge and show promise of pursuing productive academic careers.

This document describes with more specificity the standards that will be used by the Department of Physical Medicine and Rehabilitation to evaluate whether candidates meet the general criteria in Section 7.11 of the Regulations. For a complete perspective on the University's standards, the reader is advised to review Section 7 in its entirety.

II. Mission Statement

The mission of the Department of Physical Medicine and Rehabilitation, within the broad mission of the Medical School, is to conduct high quality programs of biomedical research and education.

To be awarded indefinite tenure, a faculty member will be expected to have demonstrated scholarly productivity, teaching effectiveness, and contributions to the advancement of patient care and professional education through research, writings, and service.

III. Criteria for Tenure

The Department of Physical Medicine and Rehabilitation subscribes to the criteria for tenure established by the Medical School. Additional specific statements on criteria for tenure, supplementary to or an extension of the Medical School statement, have been developed by the Department and are attached.

IV. Criteria for Promotion

The Department of Physical Medicine and Rehabilitation subscribes to the criteria for promotion established by the Medical School.

V. Procedures

In initiating and considering proposals for tenure and/or promotion in rank, the Department of Physical Medicine and Rehabilitation follows the procedures of the Medical School and the University. These procedures are described in the University document, "Procedures for Reviewing Performance of Probationary Faculty", issued in June 1986, and in the set of instructions, memoranda and other documents, issued annually by the Dean of the Medical School to each department and for information of faculty members.

**UNIVERSITY OF MINNESOTA
MEDICAL SCHOOL**

**Department of Physical Medicine and Rehabilitation
Criteria for Appointment and Promotion of Faculty**

All faculty proposed for tenure shall have their credentials reviewed and voted upon by all tenured faculty members in the Department. A favorable vote of a majority of those voting will be required to forward the recommendation. The standards of the Medical School and this Department must be met specifically for (numbered items in each section below not necessarily in order of importance):

Research and Scholarly Activity: Research is meant to include a range of activities intended to advance knowledge in the discipline and is a major consideration in the granting of tenure. It should include direct involvement and a continuing commitment to research activities, as reflected in:

- 1) publication of research results and scholarly papers in peer-reviewed journals;
- 2) presentation of research findings at recognized scientific meetings;
- 3) national recognition by peers of distinction in research activities; and
- 4) the ability to obtain both internal and external grant or contract funding for research.

Independent research productivity must be demonstrated, but effective collaboration with others is also valued. Both quality and quantity of research and scholarly activities are considered.

Teaching: Teaching is an encompassing process that may take many forms and occur in a variety of settings. It includes lectures, team teaching, seminars, preceptoring, clinics, laboratories, continuing education, and student advising. Evaluation of teaching should consider multiple sources of information, and value both affective and cognitive outcomes.

Assessment of effectiveness in teaching and advising students is based upon:

- 1) publication of book chapters and development of instructional materials;
- 2) review of courses taught, directed, and developed;

- 3) evidence of teaching excellence at the undergraduate and graduate level evaluated by the written statements and formal evaluations of colleagues, peers and students;
- 4) written evaluation by the Department Head and Director of the Program;
- 5) demonstrated scholarly indepth knowledge in an area of teaching responsibility;
- 6) demonstrated excellence and commitment over a sustained period of time;
- 7) recognition by peers outside the University;
- 8) development of innovative educational programs;
- 9) Involvement in curriculum development and implementation; and
- 10) recognition of performance of graduates on nationally administered licensing examinations referenced to the subject material taught by the faculty member.

SERVICE:

Like research and teaching, services has a number of aspects and may take a variety of forms. It includes:

- 1) clinical services to patients;
- 2) services to the academic unit and the University;
- 3) discipline-related community activities; and
- 4) service to professional associations or special interest organizations relating to the discipline.

Service activities may include consulting, advising, committee involvement, work on special projects, or filling a leadership role in an appropriate organization. Any contribution will be judged potentially relevant when the faculty member is acting as a professional. Evaluation of service is based on documentation of the activity that reflects both the importance and the quality of the candidate's contributions. It should include letters of reference or written evaluations by peers and by committee chairpersons or others in charge of such activities.

UNIVERSITY OF MINNESOTA

Twin Cities Campus

*Department of Physiology
Medical School*

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April 6, 1999

TO: Robert B. Howe, M.D.
FROM: Joseph Di Salvo, Ph.D. *JD*
SUBJECT: Post-Tenure Review



Attached is a copy of regulations regarding post-tenure review in the Department of Physiology. These regulations were approved unanimously by the tenured faculty in our department.

Department of Physiology
Rules and Procedures for Annual and Special Post-Tenure Review

I. Goals and Expectations:

The goals and expectations for post-tenure review are similar to those that are required for promotion to tenure. The "Standards for Tenure - Department of Physiology" section of the departmental tenure statement is attached. This statement will serve as a general guide for the post-tenure evaluation and review. It is understood that faculty interests may change with time, and that the specific weighting of emphasis on research, teaching and service must be adjusted accordingly.

II. Procedure:

The department chairman will carry out an annual review of all tenured faculty members each spring semester. Prior to the review, the faculty member will be required to provide a written response to a series of questions related to the expectations for tenure (see part I). If the conclusion of this review by the department chairman is that the performance is "substantially below the goals and expectations of the Department of Physiology", the review will be submitted to the "faculty review committee" for further evaluation. This committee will consist of three tenured faculty members elected by a vote of all the tenured faculty.

If this committee also finds that the performance is "substantially below the goals and expectations of the Department of Physiology", the faculty member will be notified in writing of this finding. The notification must be signed by the department chairman and the committee chairman. The letter must specify the deficiencies and provide suggestions for removing these deficiencies by the time of the next annual review.

At this next annual review, both the departmental chairman and the review committee will review the performance during the past year. If they again find that the performance is still "substantially below the goals and expectations of the Department of Physiology", they can decide to either a) allow the faculty member another year to correct the deficiencies, or b) ask the dean to initiate a special review. If they choose option (b), they should send a letter of memorandum to the dean and the faculty member, setting out their findings, along with a copy of documents they have reviewed. Depending on the decision of the dean, this letter may initiate a "special review". The rules and procedures for this "special review" will follow the procedures that are established by the Medical School.

STANDARDS FOR TENURE DEPARTMENT OF PHYSIOLOGY

The Department of Physiology accepts and subscribes to the statement on Criteria and Standards for Tenure of Faculty at the University of Minnesota Medical School, with the following standards specific to the department.

A. TEACHING

Research will usually be the primary basis for tenure. Competence and active participation in teaching will also be required. The Department of Physiology accepts the Criteria and Standards for Tenure of Faculty at the University of Minnesota Medical School with respect to competence in teaching. The following are areas in which competence in teaching can be demonstrated:

1. Participation in teaching and advising professional students (including students in the medical, pharmacy, dentistry, or other professional education programs) in the subject of Physiology, and graduate students in Physiology.
2. Service as a thesis adviser to candidates for advanced degrees (Master's degree and/or Ph.D.) in the discipline of Physiology, or in interdisciplinary graduate programs.
3. Service and distinction as a faculty sponsor for a postdoctoral fellow(s) in Physiology or in a collaborative research program.
4. Service as a faculty mentor to students in any of the above categories who engage in research activities in the Department of Physiology.
5. Participation in teaching undergraduate (pre-baccalaureate) students, including students in other colleges of the University of Minnesota.

Competence in teaching is based on:

1. Review of courses taught, directed or developed by the candidate, at both undergraduate and graduate levels.
2. Degree candidates advised in both professional and graduate schools.
3. Evaluations by students.
4. Written statements by the Head of the department and others familiar with the candidate's teaching performance.

In rare instances, distinction in teaching may appropriately be considered to be the primary basis for tenure. Competence in research will also be required.

Distinction in teaching is based on:

1. The four items given above as sources of evidence for assessment of competence in teaching.
2. Evaluation of publications, such as books, peer reviewed journal articles, audiovisual aids, and/or other significant contributions to educational advances in the discipline, that are distributed at a national level.
3. Letters from leading educators in the discipline attesting to the candidate's national reputation, and assessing the candidate's contributions to development of advances in education in the field.
4. Participation in national organizations, such as The American Physiological Society, that have significant activities devoted to education and educational development. Evidence of leadership in such an organization (such as by election to an officer position) would be of particular value.

B. RESEARCH/SCHOLARSHIP

Physiology is a research oriented discipline and thus tenure recommendations are primarily based on scholarly activity of the faculty. Scholarly activity will be judged on the following standards:

1. Publications in Rigorously Peer-Reviewed Journals

Scientific articles reporting high quality biomedical research that significantly advances the candidate's field of research should be published in rigorously peer-reviewed journals appropriate to the discipline(s) of Physiology. Contributions to prestigious review journals, monographs, etc. that are not peer-reviewed will be taken into consideration, but cannot be the primary basis for a decision.

2. Creative and Significant Scholarly Contributions

Evidence will be sought from peers within the Department of Physiology, the University and from national and international leaders in the candidate's field of research that the candidate's contributions are scholarly, creative and have contributed significantly to advancement of the field. The assessments will also provide clear evidence of whether or not the candidate has a national or international reputation in the discipline of Physiology.

3. External Research Funding

Every faculty member in the Department of Physiology must have an independent research program and as a principal investigator should attract external funding, based upon peer review, from federal agencies, international agencies or from private agencies appropriate to the discipline.

4. Invited Participation in Symposia, Meetings and Seminars

Faculty members should be invited by national and international scientific organizations to participate in symposia, meetings and conferences and should be invited to give seminars before peers in other institutions both nationally and internationally. However, this cannot be used as the sole criterion for tenure.

5. Service as an Editor or as a Member of the Editorial Board of a Reputable Journal or Monograph in a Biomedical Discipline

Service such as this usually indicates peer recognition for the candidate's contributions, but cannot be considered as the sole basis for tenure.

6. Publications in Monographs, Reviews and Other Books

Publications such as these, which are not generally peer-reviewed, should be part of the activities of a faculty member, but cannot be considered as the sole basis for tenure.



UNIVERSITY OF MINNESOTA
TWIN CITIES

Department of Radiology
Medical School
Box 292 UMHC
420 Delaware Street S.E.
Minneapolis, Minnesota 55455

CC: CP
Mary Simpson

Friday, August 20, 1999

Dr. Robert B. Howe
Assoc. Dean, Faculty and Graduate Affairs
Medical School Box 293
C 605 Mayo

Dean Howe,

Enclosed you will find three documents pertaining to the Radiology Department's proposed Post-Tenure Review Policy for your review. They are:

Departmental Mission Statement and Criteria for Tenure ("7.12 statement")

Departmental Goals / Expectations Statement

Procedures for Conduct of Post-Tenure Review

Please note that the 7.12 statement is in draft form. Revisions to this document are currently under review by the Departmental Promotion and Tenure Committee. My guess is that it will be approved as suggested in this draft, but I can certainly let you know when it is final if you have any concerns.

Once the review process is complete and our policies and procedures are approved, we will initiate the vote of the tenured faculty on the membership of the Post - Tenure Review Committee.

Sincerely,

E. Russell Ritenour, Ph.D.
Professor, Dept. of Radiology
Chair, Departmental Promotion and Tenure Committee

Cc: Dr. William M. Thompson
Linda Kenny

Draft Revisions August 2, 1999

**UNIVERSITY OF MINNESOTA
MEDICAL SCHOOL**

CLINICAL SCIENCE DEPARTMENTS

Department of Radiology

Departmental Goals / Expectations Statement

As Required by Section 7a.1
Of the Tenure Code adopted by the Board of
Regents in June, 1997

I. GOALS / EXPECTATIONS

Yearly Post Tenure reviews of individual faculty members will emphasize continuance of the pattern of scholarly activity that resulted in the awarding of indefinite tenure to each individual. The discussions will be tailored to the specific career goals of each individual and will include an examination of the need for flexibility or redirection of those goals.

The main reference document for this process should be the Departmental Statement for Granting of Tenure adopted under Section 7.12 of the Tenure Regulations.

The guidance principle in yearly Post Tenure Review shall be an examination of the degree to which the individual faculty member's activities are in keeping with the mission of the Department of Radiology, the Medical School, and the University of Minnesota. However, the standards of measurement of achievement shall be flexible, recognizing changes in career patterns of individuals over a period of time.

The Academic Unit Head and the faculty member may agree to a redistribution of activities involving "trade-offs" among the three aspects of the Departmental Standards for Tenure: teaching, research/scholarship, and service. There must be some balance among the three elements over a long period of time in order to demonstrate maintenance of academic competence. However, strengths under one criterion may balance weaknesses under another.

Draft Revisions August 2, 1999

**UNIVERSITY OF MINNESOTA
MEDICAL SCHOOL**

CLINICAL SCIENCE DEPARTMENTS

Department of Radiology

Procedures for the Conduct of Post-Tenure Review

As Required in Sections 7a.2 and 7a.3 of the Regulations
Concerning Faculty Tenure

I. FORMATION OF COMMITTEE

The tenured faculty of the Department of Radiology will elect a peer faculty Post-Tenure Review Committee. The Committee will also constitute the membership of the Departmental Promotion and Tenure Committee. Election to the Committee will for staggered 3 year terms. Consecutive or subsequent re-election to the Committee is permitted.

II. FREQUENCY OF REVIEW

The Post-Tenure Review Committee will evaluate the performance of tenured faculty on a yearly basis.

III. THE REVIEW PROCESS

- A. In the spring of each year, each faculty member will be given the opportunity to provide relevant information concerning their academic activities during the previous calendar year.
- B. Prior to July 1 of each year, the Post-Tenure Review Committee will provide to the Academic Unit Head a summary report for each tenured faculty member.
- C. The Academic Unit Head, will provide feedback to the faculty member concerning the Post-Tenure Review during the Annual Compensation Review.

IV. PROCEDURES IN THE EVENT OF AN UNSATISFACTORY REVIEW

- A. If the Post-Tenure Review Committee finds that a faculty member's performance is "substantially below the goals and expectations of the unit" and the Academic Unit Head concurs, then a letter must be sent to the faculty member, stating that finding. The letter must be signed by both the Academic Unit Head and the chair of the committee. The letter must specify the deficiencies and must set a time period (usually by the next annual review)

during which the faculty member should address the identified problems. Both the Academic Unit Head and the Post-Tenure Review Committee will work with the faculty member to remedy the perceived deficiencies.

- B. After the specified time period, both the Academic Unit Head and the Post-Tenure Review Committee will review the performance of the faculty member. If, after this review, both Unit Head and Committee again find that the performance of the faculty member is still "substantially below the goals and expectations of the unit" then they may further extend the time period for remedy of deficiencies or they may ask the Dean to initiate a Special Review as described in Section 7a.3 of the Regulations Concerning Faculty Tenure.

V. PRIVACY

All persons concerned with the review process should be reminded that information collected is primarily "private data" under the Minnesota Data Practices Act. It should be made freely available to the faculty member under review, but may not be revealed to others (even to other members of the Academic Unit) except as required for the conduct of official business.

Draft Revisions August 2, 1999; New text in bold, Notes in *bold italic*.

UNIVERSITY OF MINNESOTA
MEDICAL SCHOOL

CLINICAL SCIENCE DEPARTMENTS

Department of Radiology

Departmental Mission Statement and Criteria for Tenure

As Required by Section 7.12
Of Regulations Concerning Faculty Tenure

I. INTRODUCTORY STATEMENT

This document describes the specific criteria and standards which will be used to evaluate whether candidates meet the general criteria in Section 7.11 of the Regulations Concerning Faculty Tenure. For a complete perspective, the reader is advised to review Section 7 in its entirety. Section 7.11 is printed in its entirety in III. Criteria for Tenure (see below).

II. MISSION STATEMENT

The mission of the Medical School is to conduct high quality programs of research, education, and service through which the college contributes significantly to the provision of excellent health care for the people of Minnesota.

The broad missions of the Department of Radiology (diagnostic) are teaching, research, and provision of excellent clinical service. Primary academic missions of the Department are to teach medical students and post-M.D. trainees in Radiology and to advance knowledge in the specialty through basic scientific and clinical research endeavors. In their academic activities, some faculty members may concentrate on one of the three major missions (teaching/research/service), but all of the faculty must participate in all three of those functions.

Departmental activities are conducted in ~~four~~¹⁰ (*expand ? - list department sections?*) sections: ~~general imaging~~ - chest radiology, computed tomography, gastrointestinal radiology, genitourinary radiology, cardiovascular and interventional radiology, neuroradiology, ~~and~~ nuclear medicine, **outpatient radiology, pediatric radiology and physics.** ~~The Department of Radiology is responsible for conducting a certificate educational program for training radiologic technologists.~~

III. CRITERIA FOR TENURE

Section 7.11 of the Regulations Concerning Faculty Tenure states: "General Criteria. The basis for awarding indefinite tenure is the determination that the achievements of

an individual have demonstrated the individual's potential to continue to contribute significantly to the mission of the University and to its programs of teaching, research, and service over the course of the faculty member's academic career. The primary criteria for demonstrating this potential are effectiveness in teaching and professional distinction in research; outstanding discipline-related service contributions will also be taken into account where they are an integral part of the mission of the academic unit. The relative importance of the criteria may vary in different academic units, but each of the criteria must be considered in every decision.

The individual's participation in the governance of the Institution and other services to the University and service to the academic unit may be taken into consideration, but are not in themselves basis for awarding tenure.

Indefinite tenure may be granted at any time when 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 it appears that the appointee is not making satisfactory progress toward meeting the criteria within that period."

Standards for Tenure – Department of Radiology

The Department of Radiology accepts and subscribes to the statement on Criteria and Standards for Tenure of Faculty at the University of Minnesota Medical School, with the following standards specific to the Department.

A. TEACHING

Teaching activities may occur in a variety of educational settings and formats, including: didactic presentations, lectures, seminars, conferences, tutorials, laboratories, advising of students, case discussions, grand rounds, hospital and clinic rounds, patient care, surgical and other procedures, continuing education.

The following are educational activities in which competence and accomplishments in teaching can be demonstrated:

1. Participation and competence in teaching undergraduate (pre-baccalaureate) students.
2. Participation and competence in teaching professional students, including students in the M.D. curriculum, or other professional educational programs.
3. Service and distinction as a faculty adviser to post-M.D. residents (Medical Fellow Specialists or Medical Fellows), post-residency clinical fellows, or advanced degree candidates in medical disciplines, interdisciplinary programs or collaborative research programs.

4. Service as a faculty mentor or adviser to students in any of the above categories, including medical students in the clinical courses of the M.D. curriculum.
5. Service as a faculty mentor to students in any of the above categories who engage in research activities in the Department.
- ~~6. Participation in teaching students in the certificate educational program for training radiologic technologists, conducted by the Department of Radiology.~~

B. RESEARCH/SCHOLARSHIP

Scholarly activities of a faculty member will be evaluated according to the following standards:

1. Scientific Publications

Scientific articles reporting quality biomedical research should be published in appropriate peer-reviewed journals related to the discipline(s) of medicine.

Peer-reviewed journals that are recognized as outstanding and appropriate to the discipline include, but are not necessarily limited to:

American Journal of Roentgenology
Investigative Radiology
Radiology
Gastrointestinal Radiology
Urologic Radiology
The Journal of Nuclear Medicine
CardioVascular and Interventional Radiology
Pediatric Radiology
Skeletal Radiology
Academic Radiology
Medical Physics
Journal of Magnetic Resonance
Radiographics
EJ (Electronic Journal)

2. External Research Funding

A candidate should be the recipient of (a) grant(s) or contract(s) by designation as Principal Investigator, a major collaborator, or other similar title, from a national or regional granting agency which customarily utilizes scientific peer review as the primary basis for awards. Examples of granting agencies include, but are not necessarily limited to:

*An Institute of the National Institutes of Health,
National Science Foundation, 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
A unit or affiliate of the March of Dimes
Epilepsy Foundation of America
Leukemia Society of America
National Kidney Foundation of the Upper Midwest*

3. Publications in Monographs, Reviews, and other Books

Publications through these modalities are part of the scholarly activities of a faculty member, but cannot be considered as the sole basis for tenure.

4. Service as an Editor or a Member of the Editorial Board of a Reputable Journal or Monograph in a Biomedical Discipline

Examples of appropriate journals include, but are not necessarily limited to, those listed in B, #1 above.

5. Invited Participation in Symposia, Meetings, and Seminars

Faculty members should be invited by national and international scientific organizations to participate in symposia and meetings, and should be invited to give seminars before peers in other institutions, both nationally and internationally. However, this cannot be used as the sole criterion for tenure.

C. SERVICE

Service, although not a primary criterion for tenure, will be taken into consideration in making decisions on tenure. Performance of service, however exemplary, cannot substitute for the primary criteria, research, and teaching.

IV. **PROMOTION**

Standards for Promotion - Department of Radiology

The Department of Radiology accepts and subscribes to the statement on Criteria and Standards for Promotion of Faculty at the University of Minnesota Medical School, with the following standards specific to the department:

A. To Assistant Professor

Candidates for promotion to Assistant Professor are judged on the following standards:

Excellence in teaching. Effectiveness and excellence in teaching will be carefully evaluated according to the suggestions of the ad hoc committee evaluating teaching contributions.

Evidence of involvement in basic sciences or clinical research is recommended.

Commitment to quality patient care.

B. To Associate Professor

A recommendation for promotion to Associate Professor is made when an eligible faculty member has fulfilled the general criteria applicable to tenure, as stated in Section 7.11, and the specific criteria and standards for promotion to Associate Professor as stated by the Department of Radiology as follows:

Effectiveness and excellence in teaching will be carefully evaluated according to the suggestions of the ad hoc committee evaluating teaching contributions.

Distinction in research with national recognition.

Grant support is recommended.

Creative, high-quality, original scientific publications in peer-reviewed journals.

Letters of support (for promotion packet for Dean's office review):

Four letters from local senior faculty members and six letters of support from national authorities in the specialty attesting as to the candidate's national recognition for his/her accomplishments. A list of all individuals asked to write letters of support and a brief description of the relationship of each to the candidate.

Participation in invited scientific symposia, meetings and lectures, and visiting professorships to prestigious institutions.

Administrative contributions to the Department functions will be considered and evaluated according to the degree of involvement.

Other awards, recognitions will be carefully reviewed and considered.

C. To Professor

Candidates for promotion to Professor are judged on the following standards:

Excellence in teaching as documented by evidence of excellence in teaching according to the suggestions of the ad hoc committee.

Distinction in research with national and international recognition.

Grant support is highly recommended.

Letters from authorities (for promotion packet for Dean's office review) attesting to the candidate's acknowledged national and international reputation and recognition of leadership in his/her field, including:

Four letters from local senior faculty members and four letters from prominent senior faculty members at prestigious universities in the United States attesting to the candidate's qualifications for promotion to the rank of Professor.

Two letters from international authorities attesting to the international reputation of the candidate.

Original, creative, high-quality scientific publications in peer-reviewed journals.

Election to prestigious scientific organizations.

Administrative contributions to the Department functions will be evaluated and considered for promotion.

V. PROCEDURES

In considering proposals for tenure and/or promotion in rank, the Medical School and its Departments comply with the procedures described in the document, "Procedures for reviewing Performance of Probationary Faculty," distributed annually by the Vice President for Academic Affairs. These procedures are provided for by Sections 16.3, 7.4 and 7.61 of the Regulations Concerning Faculty Tenure.

The Medical School issues annually to each department, for distribution and information to faculty members, a set of instructions, memoranda and other documents, giving detailed information on the procedures to be followed in the preparation and consideration of each proposal for tenure and/or promotion in rank. The pertinent documents are identified as exhibits enclosed with a cover memorandum from the Dean.

Designated non-tenured faculty members holding appropriate appointment and rank at affiliated hospitals are eligible to vote on proposals for promotion in rank of candidates, in accordance with approval for this procedure granted by the University Tenure Committee and the Vice President for Academic Affairs.

VI. POST TENURE ACTIVITIES

[Note: Some statement concerning changing career patterns is required by the latest version of the University of Minnesota Regulations Concerning Faculty Tenure.] It is expected that tenured faculty will continue to make significant contributions to the mission of the University and to its programs of teaching, research, and service. It is recognized that specific career goals for individuals are subject to change over a period of years. The Department will through its annual post tenure review maintain flexibility in establishment of short term objectives as long as changes in career patterns of post tenured faculty are in keeping with the missions of the Department of Radiology, the Medical School, and the University of Minnesota.

Department of Therapeutic Radiology

Faculty Post-Tenure Review Statement of Goals, Expectations And Procedures

I. Introductory Statement

This document describes and establishes the goals and expectations for all faculty members relating to post-tenure review regarding teaching, scholarly productivity and contributions to the outreach functions of the department. This statement closely parallels the Department of Therapeutic Radiology's statement for granting of tenure. This document is developed in compliance with Section 7a.1 of the Tenure Code.

II. Mission Statement

The mission of the Medical School is to conduct high quality programs of research, education, and service through which the college contributes significantly to the provision of excellent health care for the people of Minnesota.

The missions of the Department of Therapeutic Radiology are teaching, research and provision of excellent clinical service. Primary academic missions of the department are to teach medical students, post-M.D. trainees (residents and fellows) and students in allied health programs and to advance knowledge in the specialty through basic scientific and clinical research endeavors. In their academic activities, some faculty members may concentrate on one or two of the three major missions (teaching/research/service), but the entire faculty must participate in all three of those functions to some extent. The standard is intended to be flexible to reflect the changing patterns of the faculty member's academic career and the needs of the department. ✓

III. Goals and Expectations for Post Tenure Review

Section 7.11 of the Regulations Concerning Faculty Tenure states that "tenure is awarded on the determination that the achievements of an individual have demonstrated the individual's potential to continue to contribute significantly to the mission of the University and to its programs of teaching, research, and service over the course of the faculty Member's academic career. The primary criteria for demonstrating this potential are effectiveness in teaching and professional distinction in research; outstanding discipline-related service contributions will also be taken into account where they are an integral part of the mission of the academic unit. The relative importance of the criteria may vary in different academic units, but each of the criteria must be considered in every decision."

The Department of Therapeutic Radiology accepts and subscribes to the above statement on Criteria and Standards for Tenure in its goals and expectations for

Department of Therapeutic Radiology

post-tenure review. The goals and expectations are flexible so that the faculty member and the department head may determine the most appropriate way to balance the career patterns of the faculty member and the needs of the department.

A. Teaching

Teaching activities may occur in a variety of educational settings and formats, including: didactic presentations, lectures, seminars, conferences, tutorials, laboratories, advising of students, case discussions, grand rounds, hospital and clinic rounds, patient care, surgical and other procedures, and continuing education.

1. Participation and competence in teaching undergraduate (prebaccalaureate) students.
2. Participation and competence in teaching professional students, including students in the M.D. curriculum and other professional educational programs.
3. Service and distinction as a faculty adviser to post-M.D. residents (Medical Fellow Specialists or Medical Fellows), post-residency clinical fellows, or advanced degree candidates in medical disciplines, interdisciplinary programs or collaborative research programs.
4. Service as a faculty mentor or adviser to students in any of the above categories, including medical students in the clinical courses of the M.D. curriculum.
5. Service as a faculty mentor to students in any of the above categories who engage in research activities in the department.
6. Participation in teaching students in the certificate educational program in Therapeutic Radiology and for the training in therapeutic radiological technicians.

B. Research/Scholarship

The continuing scholarly activities of a tenured faculty member will be evaluated according to the following standards:

1. Scientific publications

Scientific articles reporting quality biomedical research will continue to be published in appropriate peer-reviewed journals related to the discipline(s) of medicine.

Department of Therapeutic Radiology

2. External research funding

A tenured faculty member will continue to be the recipient of a grant(s) or contract(s) by designation as Principal Investigator, a major collaborator, or other similar title, from a national or regional granting agency which customarily utilizes scientific peer review as the primary basis for awards.

3. Publications, service and participation through the following modalities are part of the scholarly activities of a faculty member and indicate continuing contributions to the academic mission of the department:

Publications, monographs, reviews and other books; service as an editor or a member of the editorial board of a reputable journal or monograph in a biomedical discipline; invited participation in symposia, meetings and seminars.

C. Service

Service, while not the primary criteria in the post-tenure review process, is part of the mission of the department. Performance of service may be determined between the faculty member and the department head to reflect the needs of the faculty member and the department.

IV. Procedures

The Compensation Policy and Section 7A.2 of the Tenure Code requires academic units to review annually the performance of each faculty member who holds an appointment in that academic unit. This review process gives the faculty member an opportunity to provide relevant information and to receive feedback about his or her performance.

A. Annual Review

1. The department chair must meet annually with each individual faculty member in the unit to receive and provide feedback on the faculty member's performance.
2. A single review process will be used to satisfy both the Compensation Policy and the Tenure Code.
3. The annual post-tenure review will normally take place in the spring, in the context of the annual compensation review.

Department of Therapeutic Radiology

B. Faculty Review Committee

1. A Committee comprised of the tenured faculty in the Department post Tenure Review Committee will review cases in which the department chair believes performance is "substantially below the goals and expectations of the unit". Its role will be limited to this aspect. The department chair will appoint a chair of the Committee of the Whole
2. The post tenure review will review only those cases concerning post-tenure review.

C. Performance Substantially Below Goals and Expectations

1. If during the course of post-tenure review the department chair believes a faculty member's performance is substantially below goals and expectations, as outlined above, the department chair must refer the case for review to the faculty Committee of the Whole.
2. If both the department chair and the Post Tenure Review Committee find a faculty member's performance to be "substantially below the goals and expectations of the unit," they must send a letter or memorandum to the faculty member stating that finding. The letter must ^{be} signed by the department chair and by the chair of the committee. It must specify the deficiencies and set a time period (usually by the next annual review) during which the faculty member should address the identified problems. Both the department head and the committee should work with the faculty member to improve performance during that time.
3. At the of the specified time both the department chair and the Post-Tenure Review will again review the performance. If the finding is that performance is still "substantially below the goals and expectations of the unit," they can ask the Dean of the Medical School to initiate a special review. Special review is initiated by letter or memorandum from the department chair and the Post-Tenure Review Committee, the Dean of the Medical School and the faculty member, setting out their findings with a copy of the documents they have reviewed.

D. Special Review

Department of Therapeutic Radiology

Special Review is an intensive review of an individual faculty member. It can be initiated only after the steps above have been taken and only after the Dean of the Medical School has independently reviewed the file and determined that special review is appropriate. It is not a judicial or quasi-judicial proceeding; it is not an accusatory process. It is a further academic inquiry by colleagues to review performance.

The procedures for special review will be carried out according to Section 7a.3 of the Tenure Code.

UNIVERSITY OF MINNESOTA

Twin Cities Campus

11-18-99

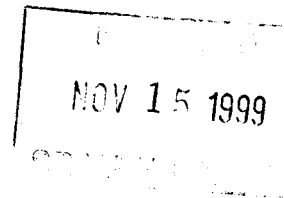
Office of the Dean
School of Nursing

6-101 Weaver-Densford Hall
308 Harvard Street S.E.
Minneapolis, MN 55455-0342
612-624-5959
Fax: 612-626-2359

① Makefile: Policies for
Comp/PT

② Copy to Dr. Nancy Bebeau

November 11, 1999



TO: Frank B. Cerra, M.D.
Senior Vice President for Health Sciences

FROM: Sandra R. Edwardson, PhD
Dean

RE: Policy Procedures Follow-Up

Attached are copies of the School of Nursing policies for yearly review for compensation and post-tenure review. As outlined in the post-tenure review document, each spring faculty members submit to their division head updated CVs and their goals for the coming year. The division heads then meet with each member individually to review progress on current year goals and discuss plans for the coming year. When it is time to set salaries, the input from the Merit Review Committee and the division heads is combined and salaries are set by the deans and division heads.

I hope this will provide the information the committees need.

SRE:rmr

Attachments

**University of Minnesota
School of Nursing**

**Merit Criteria, Guidelines and Allocation
Implemented in FY 1995**

Merit Committee Purpose Statement

The School of Nursing Merit Committee provides a vehicle for recognizing the contributions of *individual regular faculty* to the missions (teaching, research, and service) of the School and the University. The Merit Committee provides a peer review perspective and holistic judgment in the context of academic freedom, and with commitments to both diversity and excellence in faculty achievements.

The functions of the Merit Committee are to:

1. Rate each regular faculty member's contributions to the missions of the School of Nursing and the University within a designated time
2. Make merit recommendations to the Dean based on the peer review
3. Track the pattern of Merit Committee recommendations as compared to the merit-based salary increases given by administration

Definitions

For purposes of review for merit-based salary increases, **merit** is defined as a subjective, holistic judgment of the quality of an individual's contribution to the missions (teaching, scholarship and service) of the School of Nursing and the University within a designated time. Two levels of merit are differentiated: Meritorious Contribution and Exceptional Meritorious Contribution.

Meritorious contribution is *commendable* achievement in meeting the expectations of regular faculty members at a given academic rank during a designated time. The contribution must be toward all three missions (teaching, scholarship and service) of the School of Nursing and the University. Regular faculty members who are judged to have made meritorious contributions earn salary increases.

Exceptionally meritorious contribution is *outstanding* achievement in meeting expectations of regular faculty members at a given academic rank during a designated time. The outstanding contribution must be to at least one mission of the School of Nursing and the University, with commendable contribution to each of the other missions. Regular faculty members who are judged to have made exceptional meritorious contributions earn monetary rewards greater than that given to those who are judged to have made meritorious contributions.

NOTE: It is not essential that every regular faculty member be judged to be in one of these merit categories. Occasionally, the Merit Committee may judge that a regular faculty member's contribution does not meet the criteria for either merit category.

Assumptions

1. As indicated in the definition, a determination of merit is a subjective, holistic judgment of the quality of an individual's contribution. Determination of merit is not an objective judgment based on a sum of activities, number of publications, etc.
2. Regular faculty members who make meritorious contributions to all three missions of the

School of Nursing and the University earn salary increases. Regular faculty members who make exceptional meritorious contributions earn monetary rewards greater than that given to those who make meritorious contributions.

3. A merit judgment is more norm-referenced than criterion-referenced, and the norm is high ability, hard-working individuals who fulfill their faculty roles and responsibilities.
4. General expectations for regular faculty contributions to each mission (teaching, scholarship, and service) at each academic rank serve as *guidelines*, not standards for judging merit.
5. Regular faculty members who are on sabbatical leaves or LOAs likely will not have opportunities to contribute to all three missions of the School of Nursing and University. Therefore, these faculty members will be reviewed for merit salary increases by School of Nursing administrators rather than by the Merit Committee.

**University of Minnesota
School of Nursing**

Merit Review Procedures

Merit review for the School of Nursing is governed by the Merit Criteria and Guidelines deliberated by the General Assembly in February 1995. Each spring, faculty members are asked to submit the following to their division heads:

1. Two copies of an updated CV--one with activities highlighted relevant to this year,
2. a cover letter of no more than two pages briefly describing major accomplishments with sufficient detail to explain why merit recognition and reward are earned, and
3. a one-page summary report of student evaluations of 1 or more courses taught since the last annual review.

For merit review purposes, these materials are reviewed by a Regular Faculty Merit Review Committee (appointed by the Consultative Committee) or an Academic Professional Merit Review Committee (appointed by the Associate Dean). Individuals who fail to submit materials will not be reviewed by the Merit Committees and will not be considered for pay increases.

The Consultative Committee appoints the Merit Committee as it does other committees.

Members of the administration rate faculty and education specialists on each of the missions separately and assign more than three ratings (commendable, outstanding and neither). Administrators apply the same criteria and standards used by the Merit Committee. On occasion administrators may give more weight to one of the three missions because a faculty member has established goals to concentrate on that mission for the year or has had heavier than usual assignments in a particular mission area.

University of Minnesota
School of Nursing

I. Proposed Procedures for Post-Tenure Annual Review

- A. The purpose of Post-Tenure Review is to affirm and maintain faculty members' vitality and to improve performance if necessary.
- B. Assumptions on which the proposed plan for post-tenure review is based:
 - a. The Faculty Evaluation Committee (FEC) will serve as the Peer Annual Review Committee (PARC).
 - b. Performance is understood to mean expected performance at rank (as described in 7.12 statement, which are the goals and expectations of unit) with modifications that allow for changing career patterns of faculty, which in any given year, put more emphasis on one or more missions.
 - c. The Review is peer driven, using data provided by faculty to administration through regular review mechanisms.
 - d. The review is exception based. According to University guidelines, faculty are permitted to develop a plan that does not require full review of everybody, but focuses on exceptions to expectations of performance.
 - e. There is a pattern of substantially below standard performance before any PARC review is triggered.
 - f. "Pattern" shall mean data in records of three-year performance show below standard performance.

School of Nursing

II. Proposed Procedure for Post-Tenure Annual Review

Timeline	Tenured Faculty*	Merit Review Committee	Division Head	Peer Annual Review Committee (PARC)**	Dean	Peer Review Special Committee
Spring 1999	Submit review materials to meet review committee and have annual review meeting with Division Head with plan for meeting SoN goals and objectives for 1999-2000	Reviews materials for merit - forwards report to Division Heads	Meets with tenured faculty member to discuss merit review and goals. Division Head and faculty member agree and sign proposed plan. Division Head records brief paragraph of meeting for file.			
Spring 2000	Procedures repeat	Procedures repeat	Meets with <u>each</u> tenured faculty member and evaluates achievement for 1999-2000 goals. Evaluation must be in some kind of written form. If performance is substantially below standard, <ul style="list-style-type: none"> • a brief <u>written</u> report is made and communicated to faculty • copy sent to Peer Annual Review Committee. • faculty counseled to help improve performance • <u>set new goals for upcoming year</u> 	Receives report from Division Head of faculty whose performance is substantially below standard. Keeps report on file. Faculty may consult with PARC.		
Spring 2001	Procedures repeat	Procedures repeat	Procedures repeat	Procedures repeat		
Spring 2002 ↓ Process continuous	Procedures repeat	Procedures repeat	Procedures repeat	Reviews 3-year performance of tenured faculty member. If committee concurs that a pattern of substantially below standard performance has been documented which has not improved with Division Head assistance, refers to Dean. If the PARC does not concur, <u>no further action is taken.</u>	If PARC concurs, Dean reviews and determines whether creating a Peer Review Special Committee is warranted.	<u>See University Rules and Procedures for Annual and Special Post-Tenure Review 1998</u>

* Faculty are free to consult with Peer Annual Review Committee (PARC) at any time during this process.

** The Peer Annual Review Committee shall be the elected Faculty Evaluation Committee - See Bylaws Revision, February 1999.

UNIVERSITY OF MINNESOTA

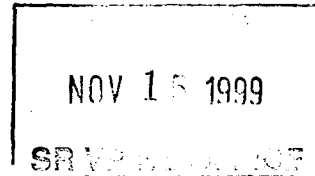
Twin Cities Campus

Office of the Dean
College of Veterinary Medicine

455 Veterinary Teaching Hospitals
1365 Gortner Avenue
St. Paul, MN 55108
612-624-6244
Fax: 612-624-8753

November 12, 1999

TO: Dr. Frank B. Cerra M.D.
Senior Vice President for Health Sciences



FR: Jeffrey Klausner, DVM, MS
Interim Dean *JK/am*

RE: Policy/Procedure Follow-up Request

Enclosed are the performance review, merit review, and post-tenure review documents from the College of Veterinary Medicine that you requested in your memo of October 21, 1999. If additional information is needed, please let me know.

JSK:am

11-18-99
① Copy to Mikey Bebeau
② file: Compensation/PT

College of Veterinary Medicine Statement
on Promotion and Tenure for Faculty, Academic
Professional and Administrative Staff

I. Faculty

The policies and procedures used within the College of Veterinary Medicine are in accord with established policies of the University of Minnesota. These policies are stated in the "University of Minnesota Regulations Concerning Faculty Tenure" effective July 1, 1985 and the annual memorandum received from the Vice President of Academic Affairs. The Constitution and Bylaws of the College of Veterinary Medicine provides general responsibility, but states only that procedures shall be in accord with University regulations concerning faculty tenure.

Each Department of the College of Veterinary Medicine in compliance with Section 7.12 of the "University of Minnesota Regulations Concerning Faculty Tenure" effective July 1, 1985 has developed a departmental statement which articulates the specific indices and standards which will be used to evaluate whether candidates meet the criteria of section 7.11 of the Tenure Code. These statements are attached.

II. Academic Professional and Administrative Staff

The policies and procedures used within the College of Veterinary Medicine are in accord with established policies of the University of Minnesota. These policies are stated in the "University of Minnesota Academic Professional and Administrative Staff Policies and Procedures", Office of the Vice President for Academic Affairs, revised September, 1985, Section II, C. Performance Review, and Section III, A. Renewal of Appointments, B. Notice of Non-renewal and Appeal Provision, and C. Granting of Continuous Appointment.

CAPS Department

PROMOTION AND TENURE GUIDELINES

March 17, 1999

**GUIDELINES FOR THE DEPARTMENT OF CLINICAL AND POPULATION SCIENCES AS
REQUIRED BY SECTION 7.12 OF THE REGULATIONS CONCERNING FACULTY TENURE**
Departmental Criteria and Expectations for Granting of Indefinite Tenure

March, 1999

I. INTRODUCTORY STATEMENT

This document describes with more specificity the indices and standards which will be used to evaluate whether candidates meet the general criteria in Section 7.11 of the Regulations. For a complete perspective, the reader is advised to review Section 7 in its entirety.

II. DEPARTMENTAL MISSION STATEMENT

This Department has a broad mission covering teaching, research and service as defined in Section 7.11 of the Regulations Concerning Faculty Tenure. In order to be granted tenure, a faculty member will be expected to meet Departmental expectations described below for each of these three responsibilities, with some variation according to the person's appointment.

Because there is diversity within the Department in the distribution of responsibilities between these areas, individual faculty members should ensure that they have a clear understanding from the Department chair of the expectations which are held concerning their specific positions. The Chair shall ensure that these expectations have been defined in consultations with Division Heads, the Agricultural Experiment Station and Minnesota Extension Service in cases where the faculty member has a joint appointment. In most instances, discipline-related service will be considered as part of the basis for awarding indefinite tenure as described in Section III.C.

III. CRITERIA FOR TENURE

The following description summarizes specific criteria for tenure in each of the three areas of teaching, research, scholarly activity, and service – acknowledging that allocation of an activity to a single category is arbitrary because a number of faculty activities contribute under more than one of these headings. It is important that a faculty member's effort allocation within these 3 areas of activity be considered with all promotion and tenure decisions. A faculty member's emphasis and productivity should coincide with their effort allocation.

A. Teaching

In order to be granted tenure, a faculty member must demonstrate competence in teaching to a level where it can confidently be expected that he or she will be effective in communicating knowledge, skills and an inquiring and analytic approach to students throughout an entire academic career.

Effectiveness in teaching is based on the following:

1. Quality of Teaching

This will be judged by peers who have been subjected to the same evaluation themselves and who will be aware of the high standards of teaching quality that are required. Faculty will be expected to take responsibility for developing and presenting lectures and laboratory classes within a defined area, and to take steps to help ensure that students understand the issues covered, by using

appropriate aids to assist in the learning process. The exact nature of the teaching responsibilities will be influenced by the part of the curriculum in which the faculty member teaches. Faculty who have significant clinical teaching responsibilities will be judged on their clinical competence and ability to impart those skills to students, as well as on their ability to teach in a more formal academic setting. Faculty will be expected to show ability, energy and enthusiasm for the various teaching tasks which they carry out.

In order for others to judge whether they meet responsible expectations for their stage of career development, faculty are responsible for providing documentary evidence for consideration. A teaching portfolio should always be included. This should include a statement on the faculty's teaching philosophy as well as course contents for all courses taught. Examples of teaching materials prepared for student use are informative. Documentation of efforts in curriculum development will also help to demonstrate desirable attributes in a good teacher.

2. Peer Evaluations

Peer evaluation based on the direct observation of the candidate's instruction and review of teaching materials used in the course can be an important indicator of teaching effectiveness. The Department Chair, with Departmental Divisions Heads, will arrange for this evaluation by ensuring that at least 2 tenured faculty are present and provide a written evaluation. This evaluation should be done annually during the probationary period.

3. Student Evaluations

Student evaluations of at least one course per year should include results of a survey completed by a major portion of the students enrolled in a specific course. Individual faculty are responsible for preparing their own evaluation forms and conducting their own survey. It is suggested that report forms appropriately identify the course name and number and that students be instructed to turn them in at the CAPS Department Office.

4. Graduate Teaching and Advising

Another very important educational activity of the Department is provision of further training through graduate programs, and supervision of interns and residents. Every faculty member should aim to develop a role in these areas. Simple measures of this role include the number of students advised for graduate degrees or other forms of advanced training, the number of Graduate Examining Committees on which the faculty member has served, and effectiveness in recruiting suitable people into graduate training. Measures of quality include evidence of competence and effectiveness in advising students, special research techniques developed, contributions to the development of new research directions, and degree of stimulus provided to graduate students. Participation in teaching graduate courses and development of new initiatives in that area are also important activities.

By the time faculty members are granted tenure they should have developed a role in graduate training sufficient to make them eligible for Associate Member status in a Graduate Faculty. They should have been reviewed positively, according to the guidelines of the graduate program, at least once by their graduate program.

5. Continuing Education/Extension

As part of their educational role, all faculty have some responsibility to inform the lay public of data of importance to them, through extension efforts. In the case of faculty with

Extension appointments, this task is a clearly defined part of their central responsibilities. Provision of continuing education for professional groups is also an important responsibility, especially in a professional college, and faculty will be expected to participate in such activities as part of their duties.

In judging contributions to continuing education and extension, the demand for the faculty member's services and the number of programs provided will provide a guide to effectiveness, and visible forms of recognition that a faculty member has high standing as a provider of these services will be taken into account. Results of evaluations of programs will be valuable in this regard. Innovative delivery methods, use of aids, originality of approach and other indicators of quality will be viewed favorably. Faculty with joint appointments, however, are reminded that quality performance in one area, either in Extension or the College, does not substitute for quality performance in the other.

B. Research and Scholarly Activity

In order to be granted tenure, faculty will be expected to develop and demonstrate independent research capacity. Granting of tenure commits the University to the faculty member in a contractual arrangement for a lengthy period, and should be based on clear evidence of capacity to contribute in an original fashion throughout that career, through the development of scholarly activity which influences teaching and other duties as well as directly contributing to knowledge.

Various forms of evidence will contribute to demonstrating this capacity. Submission of grant applications provides evidence of determination to succeed in research, and success in attaining funding shows capacity to identify productive research and to write persuasive and technically sound proposals. Given the severe competition for funding, probationary faculty should expect to have to submit a substantial number of applications to obtain funding. Evidence of persistence and growth in grant writing skills is important. In general, probationary faculty are expected to submit at least 3 grant proposals per year.

Production of quality scholarly publications is a key measure of academic ability. Publication in refereed journals gives unequivocal evidence that the research findings are accepted as scientifically defensible by peer scientists in the specialty area, and provides a common measure of quality across different fields. Faculty should therefore aim to publish in such journals on an adequate scale to satisfy evaluators that they can meet scientific standards in their field. The number of papers required to demonstrate this will depend on the nature of the research and the scope of each publication. However, a minimum of 10 papers published or accepted in scientifically reviewed publications, during the probationary period, is expected. Both publications and grant submissions should reflect the faculty members attempt at establishing an independent research program. Significant collaboration in joint research efforts will also be positively considered.

Faculty members in a clinical department draw on two major sources for their research productivity – studies in which material is obtained in the course of clinical and other activities, where the research is primarily observational in nature, and structured research which tests a scientific hypothesis and requires a research worker to design and implement an investigational approach to a problem. Both of these methods can make important contributions to knowledge if carefully applied, but each faculty member should ensure that they complete some studies of the second type since these demonstrate that they can effectively use all of the components of the scientific method.

Books, book chapters and review articles are scholarly products which will be weighed appropriately in any evaluation process. For faculty with Extension appointments, extension publications of substance will provide important complementary evidence of ability to carry out that scholarly function. Book chapters and review articles will usually be computed at a 1.5:1 ratio with scientifically

reviewed articles. Patents obtained will be valued at a 1:2 ratio with scientific publication. Software programs will be weighed equally with scientifically reviewed publications. Invited presentations at national and international meetings as well as scientific abstracts will also be viewed as positive contributions.

When a faculty member is being evaluated for tenure, the provision of at least three sample publications of the author's choosing to the evaluators will provide them with a method of assessing quality and type of publication.

C. Service

(a) Discipline-related Service

Faculty in a clinical Department frequently carry significant service responsibilities in support of the teaching program. These additional responsibilities may include non-teaching clinical work and disease investigations (especially as consultative services to practicing veterinarians). The provision of such service is an important mission of the University and hence a necessary part of the responsibilities of many faculty. Essential to the recognition of service as a factor in granting of tenure is that the individual must be developing original scientific insights germane to specific types of problems in the course of conducting service work, so that the style and standard of service offered within the profession is potentially raised as a consequence. In reviewing this aspect of a faculty member's performance, therefore, evaluators will look for innovativeness and openness to new concepts and approaches. Probationary faculty should provide information of the actual number of cases/year attended by them or their influence in a services' caseload.

(b) Service to the profession, University, and community

Faculty may consult on a broader scale to organizations, professional groups and individuals where expert advice is needed. Contributions of special expertise to organized veterinary medicine also fall under this category. In addition, faculty will be expected to contribute to the governance of the Department, the College and the University. Such activities are essential, but do not in themselves represent qualifications for tenure. By the time a faculty member is granted tenure it is expected that he or she will be making significant service contributions. Time spent performing service to the profession, University, and community will be considered when weighing quantity of teaching, research and discipline related service productivity, but performance of administrative duties will not be used as a substitute for quality in each of the three criteria.

D. External Review

In addition to the above the candidate is to be evaluated upon the following: Letters from authorities in the candidate's field assessing the candidate's scientific contributions, particularly to determine whether or not the candidate would be considered for promotion and tenure at the reviewers home institute.

IV. PROMOTION

A. To Associate Professor

Promotion to the rank of Associate Professor is usually associated with a decision concerning tenure and thus should meet the standards for tenure.

B. To Professor

For promotion to Professor, in addition to criteria used for Assistant and Associate Professor appointments, evidence is sought for a national-international reputation based on the quality of contributions made by the candidate. It may include numerous invitations to national-international symposia, elections to prestigious scientific organizations and holding of offices in societies. Evidence of a continuous research publication record should also be provided. The establishment and quality of a training program for pre- and post-doctoral trainees that has resulted in placing trainees in academic and industrial positions in their fields will be considered. Faculty being considered for promotion to full professor should have full membership their graduate program.

External Review

Letters from authorities in the candidate's field assessing the candidate's scientific contributions, particularly to determine whether or not the candidate is among the leaders in his/her field.

V. PROCEDURES

The Department complies with the Procedures for Reviewing the Performance of Probationary Faculty as provided by Sections 16.3, 7.4 and 7.61 of the **Regulations Concerning Faculty Tenure** and distributed annually by the Vice President for Academic Affairs.

Promotion and Tenure Procedures

Date	Action
September 1	Chair requests all Assistant and Associate Professors to update their CVs and complete the CAPS Annual Report of Accomplishments and submit them to the department by October 1. These documents will be used for both the promotion and tenure review for Assistant and Associate Professors, with regular faculty appointments and for promotion for faculty members with non-regular appointments, as well as the annual merit review process. The Full Professors and academic P&As will also be requested to submit the same documents by October 1 for merit review. In this way the entire department submits its merit review documents on the same date.
October 1	Chair asks Associate and Full Professors to review the personnel files of Assistant Professors regarding readiness for tenure and promotion. Chair asks Full Professors to review personnel files of Associate Professors regarding readiness for promotion.
October 15	Chair calls a meeting of Associate and Full Professors to obtain recommendations regarding faculty members who should develop dossiers in order to be considered for promotion to Full Professor. Chair calls a meeting of Full Professors to obtain recommendations regarding faculty members who should develop dossiers in order to be considered for promotion to Full Professor. (Individual faculty members can recommend themselves for tenure and/or promotion consideration.) At this meeting the chair obtains departmental feedback on faculty that the chair will use in the yearly promotion and tenure documents. Chair and potential candidates for tenure and/or promotion prepare dossiers. The Chair and the candidate may seek advice from appropriate senior faculty in preparation of these dossiers.
November 1	The Chair provides one month's notice to the appropriate faculty of the upcoming Departmental P&T meeting to vote.
November 15	Chair notifies faculty that dossiers are available for review.
December 1	Chair calls meeting of appropriate faculty to vote on candidates to be put forward for tenure and/or promotion. Ballots are distributed to all appropriate faculty in person or via campus mail. Faculty should submit written comments to the Chair explaining reasons for their vote for each candidate.

**Guidelines for the
Department of Small Animal Clinical Sciences
College of Veterinary Medicine
University of Minnesota
as Required by Section 7.12 of the Regulations
Concerning Faculty Tenure**

**Standards Used to Evaluate Candidates
for Promotion and Tenure**

I. Introductory Statement

This document describes with more specificity the indices and standards which will be used to evaluate whether candidates meet the general criteria in Section 7.11 of the Regulations. For a complete perspective, the reader is advised to review Section 7 in its entirety.

II. Departmental Mission Statement

The major missions of the Department of Small Animal Clinical Sciences are to uphold the traditional objectives of a land grant university - teaching, research, and service. These objectives are accomplished by: 1) teaching professional students the science and art of clinical veterinary medicine in the classroom, laboratory, and teaching hospital; 2) offering graduate training in a variety of clinical specialties; 3) active participation by all faculty in research programs which identify and solve disease problems of animals and people; 4) serving the community as a specialty referral and information center for diagnostic problems; and, 5) by participating in continuing education programs for veterinarians and the public in areas appropriate to faculty expertise. To be awarded indefinite tenure, and to be considered for promotion, a faculty member will be expected to have demonstrated effectiveness in accomplishing these objectives. In most instances, discipline-related professional service will be considered as part of the basis for awarding indefinite tenure as described in Section III. C.

III. Criteria for Tenure

A. Teaching

Clinical, laboratory, and didactic teaching activities and abilities will be reviewed on a yearly basis. Faculty will be expected to develop and present lectures and laboratory classes in their particular areas(s) of expertise. They will be expected to demonstrate their teaching competence by the organization, quality, content, and timeliness of the material presented to students. Faculty will be expected to be effective communicators in the classroom. In addition, they will be expected to make themselves available to students on a regular basis for consultation regarding the material being taught. Those faculty with clinical teaching responsibilities will be expected to teach the diagnostic and therapeutic skills of their particular discipline to students, and to teach and demonstrate the techniques of interpersonal communication necessary to be an effective, competent, caring clinician.

Graduate teaching and active participation in the clinical training of graduate students, residents, and interns will be expected of each faculty member. To be considered for tenure a faculty member will be expected to achieve at least an Associate appointment to the Graduate School Faculty. They will be expected to act as advisors to students for graduate degrees, and to nurture and guide the research of these students. In addition, when invited, faculty will be expected to serve on some Graduate Examining Committees of other graduate students. Faculty will be expected to participate in the teaching of graduate lecture, laboratory, and clinical courses.

Teaching quality and effectiveness will be assessed by the careful review of teaching materials prepared for student use, student evaluations of clinical, didactic, and laboratory teaching, and peer review based on actual observation of the candidate in a classroom or clinical situation. Evaluation by colleagues from other institutions may be provided. Evaluations by students will include results of surveys completed by a major portion of the students enrolled in undergraduate, professional, or graduate courses taught, directed, or developed by the candidate. When possible, numerical or percentage ratings should be provided to allow comparison with the teaching abilities of others in the discipline or department. Evaluation of graduate teaching will include the overall success of the program of each advisee, the quality of the research being done, and, when invited, by the extent of active participation on other graduate examination committees.

Tenure will be reserved for candidates whose teaching abilities are at least equal to those of the tenured faculty, and equal to that of faculty who have been awarded tenure within the past 5 years.

B. Research

Each faculty member will be expected to develop and demonstrate their abilities as investigators in ongoing projects that may include applied research or basic laboratory investigations. Evidence of quality in research will be assessed relative to the achievements of other recently tenured faculty in the discipline and department. The research and scholarly accomplishments of each candidate will be reviewed annually. A continuum of productivity should be apparent. A candidate's research and scholarly activities and accomplishments will be reviewed by peers from the department, college, and University, and, by peers from other institutions.

The research efforts of a candidate will be assessed by evaluation of the publications resulting from the research work. Publication of research results in recognized refereed journals provides clear evidence of scholarly activity. Clinical or applied investigations resulting in papers published in refereed journals will be considered equal to funded basic laboratory research in considerations for tenure. While each faculty member will be expected to contribute to the literature in an ongoing manner, quality rather than the quantity of publications will take precedence in promotion and tenure decisions. Well written textbook chapters and invited review articles are evidence of national and international recognition of the authors' expertise in a field and will be given appropriate consideration when they are part, but not the total, of an individuals' scholarly productivity. Similarly, single case reports are complimentary to an individuals' scholarly activities but may not comprise the major extent of their scholarly endeavors.

Further evidence of research and scholarly accomplishments may be demonstrated by the candidate's ability to obtain research funding from sources external to the department. Submission of grant applications demonstrates a willingness and determination to succeed in research. This will be expected of all candidates for tenure.

Evidence of national and international recognition as a clinical scientist will also provide support for the granting of tenure. This recognition may come through invitations to present papers at major meetings, invitations to advise organizations on scientific issues, election or appointment to positions of responsibility in scientific and professional organizations, and other requests which demonstrate that the candidate is well regarded by peers as an expert in some field.

Tenure will be reserved for candidates whose scholarly activities and productivity are at least equal to those of tenured faculty, at the time they were awarded tenure, within the past 5 years.

C. Service

1. Discipline-Related Service

Many faculty in a clinical Department are called upon to provide professional service as part of their role in fulfilling the mission of the University. This service may be totally separate from their clinical teaching responsibilities but paramount to maintaining a sound teaching program. These service obligations may include non-teaching clinical work, providing emergency professional care, consultation with practicing veterinarians, consultation with professional groups and organizations, and consultation with public and private organizations. It is imperative that this service obligation be recognized as a significant contribution by faculty and be considered during promotion and tenure deliberations.

Newer methods in meeting the service obligations of the University, and the extraction and documentation of useful scientific information gleaned from their service experience will be used in evaluating a candidate's service contributions. Faculty with service obligations will be expected to provide timely, accurate service. The individuals or organizations to whom the service has been directed may be asked to comment on the service provided by the candidate. The providing of service alone is not sufficient for promotion or the granting of tenure. Each faculty member must have a balance among their teaching, research and scholarly activities.

2. Other Service

Candidates will be expected to serve the Department, College and University by their active participation on committees. These activities are essential, but do not represent qualifications for promotion and tenure. In addition, candidates may be asked to assume certain administrative duties which would constitute part of their position related responsibilities. The time devoted to these duties, will be considered in weighing quantity of teaching and research productivity during evaluation for the granting of tenure.

The teaching, research, service, and other obligations expected of a faculty member frequently require the cooperation of others to produce successful results. While each faculty member is expected to demonstrate their individual talents, these talents cannot be expressed to their fullest without the interaction and cooperation of colleagues. A spirit of collegiality must prevail. Candidates will be expected to demonstrate their willingness to cooperate with others by respecting the wishes, desires, and attitudes of their peers and students, and the collegiate staff. This ability to interact and collaborate will be assessed by colleagues and co-workers regarding the candidates' willingness to cooperate, the timeliness of their interactions, and the quality and accuracy of their work.

IV. Promotion

A. To Associate Professor

Promotion to this rank is usually associated with a decision concerning tenure, therefore, such a promotion must meet the standards for the granting of tenure. It will be generally assumed that a minimum of 4 years of active, productive participation in the teaching, research, and service missions of the department will be required before sufficient credentials are established by a candidate to be considered for the awarding of indefinite tenure. In exceptional circumstances the department may recommend an individual for indefinite tenure who has less than 4 years of participation in departmental activities.

B. To Professor

For promotion to Professor, in addition to criteria used for Assistant and Associate Professor appointments, evidence is sought for:

1. A national/international reputation, as shown, for instance by invitations to national/international symposia, election to prestigious scientific organizations, holding office in national/international professional societies.
2. Letters from authorities in the candidate's field assessing the candidate's teaching and research contributions, particularly to determine whether or not the candidate is among the leaders in her/his field.
3. Establishment of a training program for pre- and post-doctoral trainees that has resulted in placing trainees in academic or industrial positions in their fields.

It will be generally assumed that a minimum of 5 years of active, productive participation in the teaching, research, and service missions of the department at the rank of Associate Professor will be required before sufficient credentials are established by a candidate to be considered for promotion to Professor. In exceptional circumstances the department may recommend an individual for promotion to Professor who has less than 5 years of participation in departmental activities at the rank of Associate Professor.

V. Procedures

The Department complies with the Procedures for Reviewing the Performance of Probationary Faculty as provided by Sections 16.3, 7.4, and 7.61 of the Regulations Concerning Faculty Tenure and distributed annually by the Vice President for Academic Affairs.



UNIVERSITY OF MINNESOTA
TWIN CITIES

Department of Veterinary Diagnostic Investigation
College of Veterinary Medicine
1943 Carter Avenue
St. Paul, Minnesota 55108
(612) 625-8787

May 21, 1987

Department of Veterinary Diagnostic Investigation
College of Veterinary Medicine
University of Minnesota

Indices and Standards for Tenure and Promotion

I. Introductory Statement

This document describes with more specificity the indices and standards which will be used to evaluate whether candidates meet the general criteria in Section 7.11 of the Regulations. For a complete perspective, the reader is advised to review Section 7 in its entirety.

II. Departmental Mission

Primary responsibilities:

1. Help reduce loss from disease in Minnesota's livestock, poultry, wildlife and companion animals and help protect the public health by providing accurate and timely discipline-related animal health diagnostic services through the Minnesota Veterinary Diagnostic Laboratories, and by providing official laboratory services for the Minnesota Board of Animal Health and the Minnesota Racing Commission.
2. Teach veterinary students the principles of diagnostic medicine and prepare them to utilize the Diagnostic Laboratory as a resource for diagnostic assistance and continuing education throughout their professional careers.
3. Advance knowledge in veterinary medicine by conducting animal health research and communicating the results through publications in scientific journals and presentations at scientific meetings.
4. Provide continuing education for veterinary practitioners and animal owners by consultation, diagnostic investigation, and participation in continuing education programs of professional organizations and the College of Veterinary Medicine.
5. Prepare students for a career in diagnostic medicine through residency and graduate training programs.

Secondary responsibilities:

1. Support other programs of the University by providing various laboratory services for the Veterinary Teaching Hospital, research projects, and other University departments.
2. Serve the veterinary profession by participating in local, state, national, and international professional organizations and by providing consultation to local, state and federal governments.
3. Serve the University community through committees and other activities.

III. Criteria for Tenure

The basis for awarding indefinite tenure is the determination that the achievements of an individual have demonstrated the individual's potential to continue to contribute significantly to the mission of the University and to its programs of teaching, research, and service over the course of the faculty member's career. To be awarded indefinite tenure, a faculty member will be expected to have demonstrated effectiveness in teaching, productivity in research and distinguished achievement in discipline-related service. Because there is diversity within the Department in the distribution of responsibilities among these three areas, the emphasis on each endeavor may vary, but accomplishment in all three areas must be demonstrated by each faculty member. The main sources of departmental funding are directed to diagnostic investigation, therefore mission-oriented professional service must be a major effort of probationary faculty who are supported primarily by service programs.

A. Discipline-Related Professional Service

To be granted indefinite tenure the candidate must make major contributions to the provision of timely and accurate diagnostic service. The quantity of the contribution will be documented in the annual report of the Department. The quality of achievement will be measured by peer evaluation in accordance with established University policy regarding promotion and tenure. Supplemental evidence of achievement may include evaluation by veterinary practitioners, research collaborators, animal owners, and other users of departmental services. Special awards or citations for professional achievement are additional indicators of distinguished contribution to professional service programs.

D. Service

Participation and leadership in local, state, national and international professional organizations and the provision of academic guidance to state or federal government are regarded as further evidence of professional competence.

Faculty are expected to serve on committees, prepare reports and undertake other activities that are essential to the governance of the Department and the College. Although such activities are essential, they are not in themselves bases for achieving tenure.

IV. Criteria for Promotion

A. To Associate Professor

Promotion to this rank is usually associated with a tenure decision, therefore the requirements are in accordance with the standards for achieving indefinite tenure.

B. To Professor

For promotion to Professor, evidence is sought for:

- 1) A national-international reputation, based on the quality of contributions made by the candidate. It may include invitations to national-international symposia, election to prestigious scientific organizations and holding of offices in professional societies.
- 2) Letters from authorities in the candidate's field assessing the candidate's scientific contributions, particularly to determine whether or not the candidate is among the leaders in his/her field.
- 3) Leadership in a training program for residents or graduate students that has resulted in the placement of trainees in academic or industrial positions in their fields.

V. Procedures

The Department complies with the Procedures for Reviewing the Performance of Probationary Faculty as provided by Sections 16.3, 7.4, and 7.61 of the Regulations Concerning Faculty Tenure and distributed annually by the Vice President for Academic Affairs.

November 5, 1991

Faculty Guidelines
Department of Veterinary PathoBiology
College of Veterinary Medicine

1. Introduction:

The purpose of these guidelines is to provide an account of the procedures and policies for formulating specific important decisions and for implementing certain policies outlined in the constitution and bylaws of the College of Veterinary Medicine. These guidelines will be revised as deemed necessary or useful by a majority of the voting faculty of the Department.

2. Criteria for Tenure:

These guidelines describe the indices and standards which will be used to evaluate whether faculty in Veterinary PathoBiology meet the general criteria in Section 7.11 of the University of Minnesota Regulations Concerning Faculty Tenure. For a complete perspective of the University of Minnesota tenure regulations, the reader is advised to review Section 7 in its entirety.

To be awarded indefinite tenure a faculty member must show evidence of scholarly contributions in teaching and/or research. Departmental service responsibilities will also be considered for those individuals with a heavy service commitment.

A. Teaching

Teaching includes instruction in the classroom and laboratories, individual conferences with undergraduate, professional, and/or graduate students, and instruction in extension/continuing education programs. Credit is given for all educational effort, including efforts to upgrade the curriculum and provide unique educational opportunities. In most instances, tenure should be reserved for candidates whose teaching ability is equal to or above average with respect to all tenured faculty in the Department.

Effectiveness and Quality in teaching is based on:

1. Content - Information presented should be current and accurate, as determined by peers and the scientific information available. It should be pertinent and conform to the objectives of the overall curriculum. Unnecessary duplication should be avoided.
2. Organization - Information should be presented in a manner that is understandable to the student. The actual teaching methods are at the discretion of the faculty member. Multidisciplinary subject matter should be effectively coordinated.

3. Examinations - Examinations should be administered and graded in a timely manner and should test the student to insure competency.
4. Communication Skills - The ability to successfully convey information depends on verbal and written communication skills. These include, but are not limited to, proper and comprehensible use of language, enthusiasm, and the pace of presentations.
5. Graduate Education - Proficiency in advising and directing graduate students, and overall contributions to the graduate program will be considered. This includes advising postdoctoral associates and students at the master's or doctorate levels, and service on graduate degree committees.

Methods - the following methods may be used to substantiate creditable performance in teaching:

1. Peer evaluations, which may include classroom visits and review of notes, handouts, examinations, and the other learning/teaching aids.
2. Evidence that the individual attempts to improve teaching skills, when appropriate.
3. Student evaluations should be obtained for each course in which an individual participates and should be evaluated in conjunction with other data, so as to avoid their use merely as indicators of popularity.

B. Research/Scholarly Activities

Faculty members are expected to contribute to the body of knowledge in their field and to obtain appropriate funding to support their scholarly activities. During the probationary years faculty should establish a scholarly focus and become recognized as independent investigators. On an annual basis, the research accomplishments for faculty being considered for indefinite tenure will be evaluated for evidence of continued research progress.

Mechanisms for documentation of quality and distinction in research may include:

1. A review of the candidate's publications with primary emphasis given to those published in or accepted by refereed scientific journals. In multi-authored articles the contribution of the individual under review should be specifically described and evaluated.
2. Submission of proposals and ability to obtain appropriate funding.

3. Ability to manage a research laboratory and/or conduct field investigations, and to interact and collaborate with colleagues in the Department, the College, and the University.
4. Evidence of quality in research as provided by peer evaluations from colleagues within and outside the University of Minnesota. Such evaluations are most useful if they are as detailed as possible, assess the originality of the work and its actual or likely influence on the field, and indicate the relative merit of the candidate's contributions as compared to achievements of specifically named individuals of similar experience in the same or related specialty.
5. Presentations of research findings at scientific meetings constitutes supplemental evidence that research findings are acceptable to peer scientists.

C. Service

1. Discipline-related service. This includes primary provision of diagnosis and therapy of animal disease and maintenance of animal health. Examples include pet-bird medicine, domestic bird health care delivery, and provision of expertise regarding diseases and husbandry of wildlife and laboratory animals. Professional diagnostic services, not related to primary patient care or teaching, include diagnostic and consultative service provided to the Veterinary Teaching Hospital, the Veterinary Diagnostic Laboratory, and licensed practicing veterinarians.

Discipline-related service is considered a significant factor in promotion and tenure when the time of assigned involvement is generally greater than 10 percent effort. Determination of meritorious service will include evaluation of timeliness, accuracy, and the use of appropriate technology.

2. Other services. Faculty are expected to contribute to the governance of the Department, the College, and the University but these do not in themselves represent qualifications for tenure, although the time required may be considered in weighing quality and quantity of effort.

3. Criteria for Promotion:

A. To Associate Professor:

Candidates for promotion to associate professor must meet tenure standards; promotion to associate professor is usually associated with the awarding of indefinite tenure. Promotion to associate professor with tenure is based on effectiveness in teaching and professional distinction in research. In cases where distinction in research is the primary basis for a decision, the candidate must show, at a minimum, competence in teaching. Conversely, when distinction in teaching is the primary basis for promotion, the candidate must show, at a minimum, competency in research.

B. To Professor:

Promotion to professor will normally be considered following an indefinite period at the rank of associate professor during which time the candidate demonstrates continual academic progress and maturity. For promotion to professor, in addition to criteria used for associate professor appointments, evidence is sought for:

1. A distinguished reputation in the scientific community, as shown, for instance, by invitations to symposia or election to prestigious scientific organizations or holding of offices in scientific societies.
2. Letters from authorities in the candidate's field assessing the candidate's scientific contributions, particularly to determine whether or not the candidate is providing leadership in his/her field.
3. Successful training of pre- and/or post-doctoral trainees that has resulted in placing trainees in academic and industrial positions in their fields. Typically, this would mean that the individual has been appointed as a full member of the graduate faculty.
4. Long term commitment to academic creativity and continued research productivity.

4. Promotion and Tenure Procedures:

<u>Date</u>	<u>Action</u>
July 1	- Chair requests all assistant and associate professors to update C.V.
Aug. 1	- Chair asks associate and full professors to review personnel files of assistant professors, and full professors to review personnel files of associate professors regarding readiness for promotion and tenure or promotion.
Sept. 1	- Chair calls a meeting of associate and full professors for recommendations on who should be put forward for tenure and promotion to associate professor and a meeting of full professors for recommendation on promotion to full professor. - Chair and potential candidates for tenure and promotion or promotion prepare dossiers. The chair may seek advice from appropriate senior faculty in preparation of these dossiers. - Chair notifies faculty that dossiers are available for review.
Dec. 1	- Chair calls meeting of appropriate faculty to vote on final candidates to be put forward for tenure and promotion or promotion. All of these faculty should submit to the Chair comments explaining their reason(s) for their vote for each candidate.

CAPS Department

MERIT REVIEW PROCEDURES

March 17, 1999

Procedures for Annual Merit Evaluations for Use in Salary Adjustments

These guidelines are intended to provide procedures for preparing the annual merit evaluations. The purpose of the annual merit evaluation is to provide a basis for salary adjustments made by the CAPS Department Chair. An additional purpose of merit evaluation is to provide constructive feedback and encourage improved performance in specific areas if needed.

The annual review process will include regular (tenure or tenure track), and non-regular (appointment with specified termination date) faculty as well and P&A personnel involved in the academic mission of the department (academic P&As). All faculty and academic P&As will submit a yearly report entitled the "CAPS Annual Report of Accomplishments." These reports will be reviewed by the CAPS Merit Review Subcommittees. The merit evaluations and salary adjustments will take place in Spring Semester. The faculty member or academic P&A will discuss the merit review scores yearly with the CAPS Department Chair and at that meeting the percent effort will be adjusted for the workload in each of the 6 categories of review. Faculty members and academic P&As failing to submit an Annual Report of Accomplishment will not be eligible for a salary increase.

CAPS Annual Report of Accomplishments

Each faculty member and academic P&A are requested to complete and submit the CAPS Annual Report of Accomplishments and current CV to the Department Chair by October 1 of the fall semester. This will allow the Annual Report of Accomplishments and current CV to be used for yearly promotion and tenure review in addition to the yearly merit review. The CAPS Annual report of Accomplishments is divided into 6 parts, which reflect the 6 categories of review, considered by the CAPS Merit Review Subcommittees. A blank copy of the CAPS Annual Report of Accomplishments is attached. The Annual Report of Accomplishments lists areas where supplemental materials (such as teaching evaluations) are requested. For all categories the inclusion of supplemental materials is vital for optimizing an individual's score.

CAPS Merit Review Subcommittees

The Chair will nominate 4 faculty members or academic P&As to each of the 6 merit review subcommittees. The Merit Review Subcommittees will meet and elect a chair of the subcommittee. The Chair of the Merit Review Subcommittee must be a tenured faculty member so that this chair can also serve on the Departmental Post-Tenure Review Committee. The 6 subcommittees are:

1. DVM/Undergraduate teaching
2. Graduate Student/House Officer Mentoring
3. Research/Scholarly Activity
4. Clinical Service
5. Outreach Activities
6. University/Professional Service

The Chair of the Merit Review Subcommittee and all members of the subcommittee will each receive the appropriate section of the faculty or academic P&A's Annual Report of Accomplishments and the percent of time the individual has allocated to that activity. In addition the Chair of the subcommittee will also receive a copy of the individual's updated CV. The individual faculty member or academic P&A will be evaluated based on the materials submitted and the relationship of quality and quantity of work to the percent of time allocated to this activity (i.e., a faculty member or academic P&A who is considered an outstanding teacher but whose entire teaching effort for the year consists of 10 lectures and who has 50% of their time allocated to DVM/undergraduate teaching should not expect to receive a top score.)

The scale to be used for rating faculty and academic P&As would be:

- 0 = Very Poor
- 1 = Below Average
- 2 = Average Performance
- 3 = Above Average Performance
- 4 = Superior Performance

The Chair of the Merit Review Subcommittee will convene a meeting of the subcommittee where the scores will be averaged and any discrepancy in scoring addressed by the committee as a group. The Chair of the Departmental Subcommittee will submit the average scores for each faculty member or academic P&A to the Department chair. The Merit Review Subcommittee will not be expected to provide scores on individuals who have failed to submit documents to the department.

The Role of the Division Heads

The CAPS Department currently has 5 division heads in the following divisions:

1. Clinical Service
2. Ruminant
3. Swine
4. Theriogenology
5. Veterinary Public Health

The Department Chair will meet with division heads as a group to review faculty and academic P&A scores within the department. This will provide a safety check for the merit review scores. If specific scores (for an individual or for a subcommittee) are of concern, these will be referred back to the subcommittee for additional review and resubmission to the Department Chair.

The Role of the Department Chair

The Department Chair will individually score all faculty members and academic P&As in each of the 6 categories of review. These scores will constitute 25% of an individual's final score and the departmental review subcommittees scores will constitute 75% of an individuals score.

Salary Adjustment Process

The scores obtained by the above detailed process will be utilized for calculating whatever increase in salary the State allocates to the department. As previously discussed, the CAPS chair will meet annually with each faculty member and academic P&A to discuss the results of the merit evaluation process and to review goals for the upcoming year, as well as the present effort allocation. The mean and range provided for all faculty for each category will be provided. The goals and expectations can also be used as part of the post-tenure review process.

These merit review scores and suggested salary changes will be forwarded to the Dean by the CAPS Chair for his/her approval.

In the event there is no salary increase University wide in any given year, evaluations will be made as usual and pooled with subsequent annual evaluations to determine salary adjustments at the time when salary funds again become available.

This salary adjustment process will continue in force unless redefined by the CAPS Chair and re-endorsed by a majority of faculty and academic P&As well in advance of the initiation of the salary adjustment process.

MERIT REVIEW PROCEDURES

DATE	ACTION
September 1	Chair requests all faculty and academic P&As to complete CAPS Annual Report of Accomplishments and update their CVs.
October 1	Faculty and academic P&As submit updated CVs and CAPS Annual Report of Accomplishments.
October 1 to December 31	CAPS Department deals with Promotion and Tenure and CAPS Chair appoints Department Review Subcommittees.
January 1	Departmental Merit Review Subcommittees elect Chair and begin review of CAPS Annual Report of Accomplishments submitted by faculty and academic P&As by October 1.
February 1	Merit Review Subcommittees submit average scores to CAPS Department Chair.
February 15	CAPS Department Chair presents merit review scores to Division Heads and, based on their evaluation, asks Departmental Merit Review Subcommittees to re-evaluate any scores deemed not representative.
March 1	CAPS Chair begins annual meetings with faculty and academic P&As to review merit review scores.
	The Chair submits merit review scores to the Dean.
March 15 to June 15	The Chair uses merit review scores to calculate faculty raises. (This process is dependent upon Central Administration providing the actual percentage increase to be used for salary increase.)

UNIVERSITY OF MINNESOTA

Jean Hawley

Twin Cities Campus

Department of Small Animal Clinical Sciences
College of Veterinary Medicine

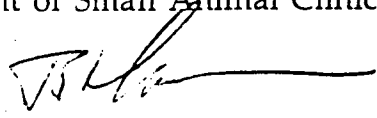
C339 Veterinary Hospitals
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612-625-7744
Fax: 612-624-0751

DEAN'S OFFICE

JAN 0 1998

VETERINARY MEDICINE

January 9, 1998

TO: Faculty In the Department of Small Animal Clinical Sciences
FROM: Jeffrey S. Klausner, Chair 
RE: 1997 Merit Review Process

The following process will be used in the SACS Faculty merit review for calendar year 1997:

- Peer Review: An elected Departmental peer review committee will review each faculty member's merit file and provide merit scores in teaching, research and service and written comments as described in the SACS Merit Review Guidelines. Eighty percent of a faculty's proposed merit increase will result from scores provided by the Merit Review Committee
- Department Chair Review: Twenty percent of a faculty's proposed merit raise will result from my evaluation. I will use the following criteria in that evaluation:

Contribution to mission

- Improves teaching and/or professional skills
- Generates resources for the University
- Generates and shares new information
- Accessible and responsive to questions/requests from students, faculty, local veterinarians
- Maintains professional attention and energy toward the University

Contribution to Department/Unit/Collegiate Teams

- Committed to personal growth
- Willingly shares in work of managing VTH, Department, College
- Participates in student related activities

Maintain salary equity among peers with good merit scores

- Material to Be Submitted: Please turn in an up-to-date curriculum vitae (current one attached) and a completed Annual Report of Accomplishments Form by February 16, 1998 (electronic version available

from Lori Schultz). Student evaluations (comments and averages) from didactic and clinical courses should be on file in the Department office. Please check with Elaine Jones to ensure that these have been included in your file. In addition, I encourage you to submit representative sample copies of class notes, handouts, examinations, course outlines or any other material that you believe will document significant teaching accomplishments as part of your teaching portfolio (See Work Accomplishment Form, Page 1, Question #3).

I will meet with each faculty member at the completion of the merit review process to discuss the 1997 review and to agree on a work plan for 1998. I will not recommend merit increases for faculty who willingly fail to meet at this annual meeting.

Attachments:

Merit Review Guidelines
Copy of Summary of Accomplishments Form
Your CV

cc Dean David G. Thawley
Dr. Donald Plumb, VTH Director
Elaine Jones
Lori Schultz

POLICY FOR ANNUAL MERIT REVIEW PROCEDURES

**Department of Small Animal Clinical Sciences
College of Veterinary Medicine
University of Minnesota**

I. GUIDELINES FOR THE REVIEW PROCESS

- A. The merit review procedure should be designed to encourage faculty. In addition to providing them with a reward for doing well, it should be designed to make constructive suggestions as to how faculty might excel to an even greater degree.
- B. Inasmuch as possible, the procedures adopted and utilized by the department should be consistent with a uniform collegiate policy.
- C. Inasmuch as possible, the classification system used should conform to the major headings of teaching, research, and service.
- D. The period of assessment should be defined, and the same for all faculty. It should conform to a uniform collegiate standard to enhance uniform evaluation of collegiate faculty in all departments.
 1. A calendar year has been used by collegiate units in the past.
 2. The period beginning January 1 and ending December 31 will be used by the Department of Small Clinical Sciences.
- E. Procurement of Documentation from Faculty
 1. Documentation for review by the Merit Review Committee (MRC) will consist of 1) an up-to-date curriculum vitae, 2) an Annual Report of Accomplishments, 3) at least 1 student evaluation for a didactic course (and laboratory - if applicable) taught in the core curriculum during the merit evaluation period, and 4) student evaluations for at least 3 VTH rotations to which the faculty member was assigned during the merit evaluation period.

2. These documents will not be expected in the department office until after the end of the evaluation period. The Chair will make a timely request for the submission of this documentation from each faculty member.
 3. The Chair will insure that copies of material to be reviewed be given to each member of the Merit Review Committee at least 2 weeks prior to the date of official review.
 4. If a faculty member willingly fails to provide the requested documentation in a reasonable period of time, they will be notified in writing by the Chair of their delinquency, with a copy of the correspondence supplied to members of the Merit Review Committee.
 5. Individuals who willingly fail to comply with the request for documentation defined above may be assigned a merit score of zero (0) for the year of evaluation in question. A statement to this effect will be included in the Chairs' special request for submission of documentation as defined in (d) above.
- F. A clear distinction must be established between quality of endeavor and quantity of endeavor.
1. Quantity is defined as the percent of total effort documented by a faculty member for a particular endeavor.
 2. Quality is defined as the degree of excellence of endeavor and serves as a numerical modifier of the percent of effort as defined in (1) above.
- G. Inasmuch that the overall mission of the department encompasses teaching, research, and service, it is expected that faculty will contribute a minimum to each of these areas. The total percent time in the research category on the Annual Work Effort Form should be at least 20% for all SACS faculty unless a smaller amount of time is agreed to by faculty member, department chair and Merit Review Committee in advance of merit evaluation. Furthermore, it is expected that faculty will accept the responsibility of quantitatively fulfilling their teaching, research, and service obligations.
- H. The procedures utilized should be designed so that areas of strength can be appropriately acknowledged, and areas for improvements are clearly documented.

- I. Involvement in professional endeavors by invitation, and extra time involved in chairing committees, peer review of manuscripts for refereed journals, etc., should be acknowledged (especially from the quantitative standpoint). However, individuals will not be penalized just because they have not been asked to participate in professional endeavors, or because they have not been appointed or selected as chairs of committees.
- J. Inasmuch as possible, a procedure designed to minimize subjective unsubstantiated comments (positive or negative) is essential. The merit review committee must make every effort to insure that all faculty are fairly and equitably evaluated.
- K. Each individual accepting the responsibility of assessing faculty performance for annual merit will be expected to submit written comments and numerical scores for each performance category. If a member of the merit review committee is unfamiliar with a faculty members' quality or quantity of endeavor in a particular area of teaching, research, or service, they should abstain from assigning a numerical score for that endeavor and assign the code U (unable to evaluate).
- L. The basis for final numerical score will be assessment of each faculty members' yearly activity in teaching, research and scholarly pursuits, and service. Each member of the merit review committee will be expected to submit written comments of a faculty members' performance in teaching, research, and service. These comments should include the reviewers' interpretation of a faculty members performance and give constructive suggestions for improvement of performance. Rather than establish numerical scores and then determine criteria to substantiate them, numerical scores are to be derived from the written comments. These comments will be submitted to the Chair at the time the numerical scores are submitted.
- M. The exact mechanism(s) by which the Chair will determine the overall mean merit score, and by which this score will be converted to merit salary dollars, will be explained to the faculty in detail before merit calculations are performed. The calculation procedures will be demonstrated using hypothetical examples to avoid questions or conflicts.
- N. Beginning for calendar year 1986 and then by annual re-evaluation the department will adopt a policy for weighting merit salary by academic rank and/or existing salary. If a collegiate mechanism is not yet in existence, the department will request its policy be adopted by the college. Final collegiate resolution

will be determined by the Dean with input from the Administrative Council, but SACS will proceed as above unless a specific, uniformly applied collegiate policy is adopted. On an annual basis, the department will determine, by ballot, the mechanistic/mathematical criteria by which the overall mean merit score (as described above) will be converted to salary dollars, and when/how this will be modified if weighted by academic rank.

- O. The final merit document of each faculty member will consist of 1) the faculty members' mean merit score in each of the categories of teaching, research, and service, 2) the departmental mean overall merit scores in each of these categories, including the range of each, 3) the faculty members' weighted overall mean merit score, 4) the departmental mean overall merit score, including the range, 5) the faculty members' merit rank within the department, and, 6) copies of the comments and numerical scores written by the members of the merit review committee.
- P. Each faculty member will be asked to review the final merit document with the Chair before it is submitted to the Dean's Office. The faculty members will be given the opportunity to identify area of performance evaluation which may require further explanation. Misunderstandings or misinterpretations of performance will be brought to the attention of the individual reviewer(s) by the Chair. If resolution cannot be achieved by this method the faculty member will be asked to submit a written statement outlining their concerns that will accompany the final merit document submitted to the Dean. The Chair will also submit a statement describing the area(s) of misunderstanding. A copy of this statement will be forwarded to the faculty member and reviewer(s). It is expected that the Chair will make every effort possible to resolve these issues before final merit documentation is forwarded to the Dean.
- Q. In instances of special salary augmentations (market related increases, anticipatory retention, etc.), the chairman shall notify the faculty of the procedures and criteria used to identify faculty for these awards. It is expected that uniform procedures will be used throughout the college. In addition to informing individuals who receive the special augmentations, the chairman will also inform those who did not receive them of the reasons for their exclusion.
- R. All department faculty members influenced by the procedures outlined herein will have an opportunity to vote to accept, reject, or modify them.

- S. Faculty should be given the opportunity to re-evaluate merit review procedures annually, and to recommend a suitable merit review committee annually. This issue will be discussed at a departmental faculty meeting, and faculty may choose to respond by written ballot. The chairman will notify the faculty of the results of oral or written ballots.

II. ASSIGNING MERIT POINTS

Merit points will be given on a 0 to 4 basis. A score of 2 will be given for performance that meets expectations. Scores above 2 are reserved for performance that the committee believes is proportionally above expectations. It is the responsibility of the faculty member to document their work is above expectations. After a score has been assigned for each category, the score will be multiplied by the percent effort to achieve a final value.

- A. Publication expectations: It is expected that all faculty members will submit at least one article (in which the faculty member played a major role) to a referred journal each year or have an acceptable explanation as to why this was not achieved. (See Departmental P & T Guidelines).
- B. Research expectations: It is expected that all faculty without current grant funding will submit at least one grant request each year or have an acceptable explanation as to why this could not be achieved.
- C. Clinical teaching and clinical service expectations: It is expected that all faculty will participate in clinical teaching activities in the VTH according to established schedules and provide consultative service to veterinarians as time permits. It is expected that faculty will cooperate with others to ensure that departmental and hospital goals are met. This expectation may be substantiated with student evaluations; peer evaluations; telephone or case logs; and/or letters from referring veterinarians, clients, interns, residents, etc. (See Section III).
- D. Didactic and laboratory teaching expectations: It is expected that faculty will participate in professional and graduate teaching programs according to established schedules. It is expected that the average student evaluation score for "overall rating of the teaching expertise of the instructor" will be equal to or greater than 3 for each course.

- E. Committee service expectations: It is expected that all faculty will be an active member of at least one collegiate, departmental or university committee per year or have asked to be a committee member.
- F. Expectations of Division Heads: It is expected that Division Heads will be leaders who will strive to maintain divisional goals, inform faculty of VTH decisions and seek input from faculty on budgets, residency programs, service related problems, division goals, etc.

III. CRITERIA FOR MERIT EVALUATION

A. Teaching

1. Clinical Teaching Assignment

- a. Case work-up quality Referral letters; other??
- b. Ability to motivate students Student & Peer Evaluation
- c. Effective use of cases in teaching Student & Peer Evaluation
- d. Cooperativeness:
 - accessibility to students)
 - accessibility to interns/) Section Heads
 - residents) &
 - accessibility to other) Peer Review
 - faculty and staff
- e. Timely accurate records ???
- f. Clinical service (emergency duty, phone calls, client service) Peer Review; letters from clients or vets; records of activity; ???

2. Didactic Teaching (DVM & graduate)

Student & Peer Evaluation

- a. lecture
- b. laboratory

3. Graduate Student Teaching

Student & Peer Evaluation

4. Clinical Interns & Residents Training

Student & Peer Evaluation

5. Postgraduate & Continuing Education
6. Extension Teaching
7. Special Recognition/Achievement in Teaching

Student & Peer Evaluation

Student & Peer Evaluation

Teaching Awards
Appointment to examination committees of specialty boards.
Other??
Special Lectures

B. Research and Scholarly Activity

1. Grant proposals submitted
Role in research & committee review proposal
2. Grant proposals currently funded
Role in research & committee review proposal
3. Nonfunded clinical projects
Role in project
4. Refereed journal papers
Committee review of relevant publs.; faculty role in project.
5. Research papers presented at scientific meetings
Type of paper; type of meeting.
6. Non-refereed papers & book chapters
Committee review of relevant publs.; faculty role in project.
7. Lay/extension publications
Committee review of relevant publs.; faculty role in project.
8. Scholarly recognition
Scientific consultancies; Editorial review boards; Journal reviewer; Others??

C. Service

- | | |
|---|---|
| 1. Discipline Related Clinical Service (emergency duty, phone calls, client service). | Peer review; letters from clients or vets; records of activity. |
| 2. Committees (chair, member)
a. Departmental
b. Collegiate
c. University
d. Non-university | Peer Review? |
| 3. Division Head | 1 page short item score by faculty in division and/or chair.
Other?? |
| 4. Director Graduate Study | Peer Review by members of graduate faculty.
Other?? |
| 5. Professional Organization | Offices held, committees, etc. |

IV. THE MERIT REVIEW COMMITTEE

Members on the merit review committee will be elected by ballot from SACS faculty and serve a 3 year staggered term.

Department of Veterinary Diagnostic Medicine
College of Veterinary Medicine
University of Minnesota

Performance Measures for Faculty Salary Adjustment

Criteria to be evaluated for performance measurement

- 1) Mission Oriented Professional Service Through the Veterinary Diagnostic Laboratory
 - a) Efficiency and effectiveness of diagnostic service
 - b) Quantity of diagnostic service
 - c) Effectiveness of laboratory section management
 - d) Collegiality and interpersonal relations
2. Research
 - a) Peer reviewed publications
 - b) Presentations at scientific meetings
 - c) Grant/contract applications and funding
 - d) Other scientific publications
3. Teaching
 - a) Professional/undergraduate curriculum
 - b) Outreach/continuing education/lay publications
 - c) Graduate courses instructed
 - d) Graduate student advising
4. Services to the University and Profession
 - a) Committee participation (department, college, university)
 - b) Support of university programs
 - c) Participation in professional associations
 - d) Reviewer for scientific journals, granting agency panels, etc.
 - e) Community activities
5. Professional development/self improvement

Procedure for Annual Salary Adjustment

The faculty member's performance is evaluated annually by each of his/her faculty peers in the department. This evaluation is based on each person's observations and experience working with the faculty member, together with evaluation of the faculty member's Annual Report of Accomplishments, updated Curriculum Vitae, and Teaching Portfolio.

The percentage of each faculty member's total effort that is devoted to each activity is determined annually in concert with the Department Chair.

The mechanism for recording and summarizing these peer evaluations, and determination of the manner in which this information is used for annual salary adjustment are decided each year at a departmental faculty meeting that is held prior to the annual performance evaluation.

Approved by the VDM Faculty - August 15, 1994.

Department of Veterinary Diagnostic Medicine

Peer Review of Teaching

- A. Faculty of the Department of Veterinary Diagnostic Medicine will serve as the peer review panel for teaching evaluation. All teaching evaluations are to be completed by mid-April so that these data can be used for merit salary review. A scoring system will be used to provide summary data for each faculty member
- B. Each faculty member will construct his/her teaching portfolio which may contain the following documentation. It is the responsibility of the faculty member to update the portfolio regularly.
1. Quantity of teaching: Courses taught, number of students, number of credits, contact hours with professional students, time spent with graduate students, independent study students guided, summer students advised, and participation on teaching-related committees.
 2. Course contents and syllabi.
 3. Class assignments and sample examinations.
 4. Class notes, hand outs, autotutorials, and audio visual aids.
 5. New courses developed and additional teaching tasks undertaken.
 6. Text books, study guides developed.
 7. Participation in faculty development and self-improvement programs such as teaching interest groups, faculty seminars, and writing workshops.
 8. A summary of teaching evaluation by students.
 9. Thesis/dissertation of graduate student advisees and performance of students on specialty board examinations.
 10. Any other material deemed important by the faculty member.
- C. Classroom visitation by peers is encouraged. Written peer evaluation of classroom instruction is desired, and may be incorporated into the teaching portfolio.
- D. The department chair will assign mentors for those faculty members who request guidance in their instructional activities.

Approved by the VDM faculty - August 15, 1994



UNIVERSITY OF MINNESOTA
TWIN CITIES

Department of Veterinary Diagnostic Investigation
Minnesota Veterinary Diagnostic Laboratories
College of Veterinary Medicine
1943 Carter Avenue
St. Paul, Minnesota 55108
(612) 373-0774

April 22, 1986

DEPARTMENT OF VETERINARY DIAGNOSTIC INVESTIGATION

Salary Adjustment Procedures

- A. College of Veterinary Medicine Constitutional Provisions (CVM Constitution and Bylaws ratified in 1974, as changed in 1981 and 1984).

Article II - The Dean

Section 2.6 - shall forward to the President the recommendations of the department chairmen along with his own recommendations concerning faculty salary adjustments.

Section 2.11 - shall report salary adjustments and promotions to the individual faculty members at the earliest possible time.

Article IV - The Faculty Council

Section 3.3 - shall function in a consultative capacity in any matters involving individual faculty grievances such as those pertaining to salary, promotion or tenure and shall make recommendations to the Dean. Those problems which cannot be resolved in this manner shall be forwarded to the appropriate body for review.

Article VIII - The Departments

Section 1.9 - The principles pertaining to salary adjustments shall be discussed by the department at least once a year in a meeting of all faculty of the department eligible to vote on matters of departmental policies. Recommendations subscribed to by the majority of the departmental faculty shall be prepared and submitted to the Dean and the Faculty Council by the chairman.

Section 1.10 - The chairman of the department shall recommend all faculty salary adjustments to the Dean.

B. Criteria

The salary adjustment procedures shall be consistent with actions or policies of the Board of Regents of the University of Minnesota, the University Senate, the Twin Cities Campus Assembly, the Central Officers of the University and the Dean of the College of Veterinary Medicine.

Salary adjustments shall be determined by directives from the administrative units listed above and/or the effectiveness by which the faculty member carries out the departmental mission. (A statement of departmental mission was approved by the VDI faculty on December 19, 1985 and is summarized in the VDI departmental promotion and tenure statement dated March 27, 1986.) The annual accomplishments of each faculty member in carrying out the departmental mission are summarized in the fiscal year annual reports of the VDI Department.

C. Procedures

The procedures for salary adjustments shall be discussed and established annually at a regular departmental faculty meeting. Approval of the annual salary adjustment procedure will be by a simple majority vote of the VDI faculty who are eligible to vote on such matters. Following faculty approval, the Chair will inform the Dean and the Chair of the Faculty Council of the annual salary adjustment procedure for the Department.

College of Veterinary Medicine Statement
on Salary Review and Adjustment
for Academic Professional and Administrative Staff

The Dean will make an annual performance review of staff in the academic administrative category in the College and of those in the professional categories who report to the Dean. This review will include an analysis of:

- 1) an annual report of accomplishments by the individual, 2) input received from departmental faculty and staff where appropriate, 3) other reviews that may be conducted, e.g. Faculty Council, biennial reviews of Chairs by the departmental faculty as required by the Constitution of the College of Veterinary Medicine, 4) input from supervisors and/or members of the Administrative Council where appropriate, 5) evaluation of performance of the prescribed duties of the position. Recommendations for salary adjustments will be based on these performance reviews.



UNIVERSITY OF MINNESOTA
TWIN CITIES

Minnesota Veterinary Diagnostic Laboratories
College of Veterinary Medicine
1943 Carter Avenue
St. Paul, Minnesota 55108
(612) 625-8787

January 12, 1987

TO: Administrative File--Minnesota Veterinary Diagnostic Laboratory
FROM: Martin E. Bergeland, Director *M. E. Bergeland*
SUBJECT: The Fenstermacher Fund for Professional Development in Diagnostic
Veterinary Medicine.

Dr. Reuel Fenstermacher (1893-1961) was administrator, researcher, teacher, and diagnostician for 33 years at the University of Minnesota. He was the first director of the Veterinary Diagnostic Laboratory, serving in this capacity from 1928 until his death in 1961. During these thirty-three years, many scientists worked and studied under his guiding influence. He was a founding father of the American Association of Veterinary Laboratory Diagnosticians, which began a new era of recognition for this speciality in veterinary medicine.

Dr. Fenstermacher was unique in that he had a keen interest in diseases of every kind of creature. He had great interest in household pets and wildlife as well as concern for livestock and poultry health problems, especially the economic loss suffered by owners. He was a master in the art of making necessary decisions in an atmosphere of uncertainty. While his published contributions on animal diseases were many, equal contribution was given through his training of others in this specialized field of endeavor.

A Fenstermacher endowment fund was established in 1984 as an appropriate living memorial to his lifetime efforts. The initial development of the fund was largely through the generous contributions of Dr. Donald M. and Sarabeth Barnes. In December 1986, the fund reached the \$10,000 minimum required for establishment of a permanent endowment fund in the University of Minnesota Foundation.

It is intended that all past and future contributions to the fund will be incorporated into the permanent endowment fund. Only the earnings from the fund will be available for disbursement. Fund earnings are to be used for the professional development of faculty or professional staff of the Minnesota Veterinary Diagnostic Laboratory. Approval for expenditures of fund earnings will be granted by the Director of the Veterinary Diagnostic Laboratory and the Dean of the College of Veterinary Medicine.

:mt

cc: Robert H. Dunlop, Dean, CVM



UNIVERSITY OF MINNESOTA
TWIN CITIES

Department of Veterinary Diagnostic Investigation
Minnesota Veterinary Diagnostic Laboratories
College of Veterinary Medicine
1943 Carter Avenue
St. Paul, Minnesota 55108

(612) 373-0774

December 19, 1985

Department of Veterinary Diagnostic Investigation
College of Veterinary Medicine
University of Minnesota

Departmental Mission

The primary objectives of the VDI Department are as follows:

1. Help reduce loss from disease in Minnesota's livestock, poultry, wildlife and companion animals and help protect the public health by providing accurate and timely animal health diagnostic services through the Minnesota Veterinary Diagnostic Laboratories, and by providing official laboratory services for the Minnesota Board of Animal Health and the Minnesota Racing Commission.
2. Teach veterinary students the principles of diagnostic medicine and prepare them to utilize the Diagnostic Laboratory as a resource for diagnostic assistance and continuing education throughout their professional careers.
3. Advance knowledge in veterinary medicine by conducting animal health research and communicating the results of that research by publication in scientific journals and presentation at scientific meetings.
4. Provide continuing education for veterinary practitioners and animal owners by consultation, diagnostic investigation, and participation in continuing education programs of professional organizations and the College of Veterinary Medicine.
5. Prepare students for a career in diagnostic medicine through residency and graduate training programs.

Secondary objectives of the VDI Department include the following:

1. Participate in the clinical teaching and research programs of the College of Veterinary Medicine by providing various laboratory services for the Veterinary Teaching Hospital and research projects.
2. Serve the veterinary profession by participating in local, state, national, and international professional organizations and by providing consultation to local, state and federal governments.
3. Serve the University community by participating in committees and other activities.

Approved by the VDI faculty December 19, 1985

Procedures For Annual Merit Evaluations For Use In Salary Adjustments

These guidelines provide procedures for preparing annual faculty merit evaluations. The purpose of the annual merit evaluation is to provide a basis for salary adjustments made by the VPB Department Chair. The process of merit evaluation is also intended to produce constructive suggestions that encourage improved faculty performance.

Faculty on both regular and non-regular appointments will be reviewed annually, but only faculty with regular appointments will be eligible to serve on the Merit Review Committee (described below). A regular appointment is a tenured or tenure track position. A non-regular appointment is a position with a specified termination date.

Faculty merit evaluations and faculty salary adjustments normally will be made during spring semester. The evaluations and adjustments will be based on criteria established early in the preceding spring semester so that the criteria will be known well in advance of the decision making processes. In the absence of an annual review of evaluation and adjustment criteria, the criteria from the previous year will continue in force.

Annual Report of Accomplishments

Each academic faculty member must submit a completed Annual Report of Accomplishments pertaining to the previous calendar year. The VPB Department Office will append a summary of student evaluations of teaching to the faculty member's Annual Report (student evaluations must be obtained for at least one course in which the faculty member makes a significant contribution). The VPB Department Chair will append the anticipated percentage efforts in teaching, research and service that were approved for each faculty member.

Merit Review Committee

A committee composed of five faculty members holding regular appointments, representing each of five defined fields in the department, will be selected to comprise a Merit Review Committee. Committee members will be selected randomly from each field (e.g., one name from all eligible faculty in each field will be drawn from a hat) by the Department Chair. Currently, the defined fields are:

Anatomy;
Avian;
Biochemistry/Genetics/Molecular Biology;
Clinical Pathology/Immunology/Microbiology//Pathology/Parasitology; and
Pharmacology.

The Merit Review Committee will elect a Chair from its ranks. This Committee Chair will serve on the committee for the following year, but not as Chair. Other members of this committee will not be eligible to serve consecutive years. Persons serving on the Administrative Council will not be eligible to serve on the committee.

The VPB Department Chair will call to order the initial meeting of the Merit Review Committee to give the committee its charge, timeline and pertinent documentation. Documents submitted for each faculty member will include:

- Annual Report of Accomplishments,
including the faculty member's Workload Distribution Report;
- Student evaluations of the faculty member's teaching,
compiled by the VPB Office; and
- Anticipated percentage efforts in teaching, research, and service,
approved by the VPB Chair for the calendar year being evaluated.

The performance and productivity of each faculty member will be rated according to each of the following criteria by each member of the Merit Review Committee:

- A. Effectiveness and quality with respect to the faculty member's role in teaching, including advising graduate students.
- B. Quality and productivity in research and scholarly activities, and demonstrated effort to apply for and obtain appropriate funding.
- C. Quality and productivity in discipline-related and other service, including University, College, Departmental and graduate program administration.

For each of the criteria, each member of the committee will independently assign a numerical rating based on the scale below. After discussion of the numerical ratings, the mean of committee member ratings will be calculated. Each score will be multiplied by the faculty member's percentage of effort in teaching, research, and service to provide an overall rating for each faculty member.

The scale to be used for rating faculty members is:

- 0 — very poor
- 1 — below average performance
- 2 — average performance
- 3 — above average performance
- 4 — superior performance

For each faculty member, the committee's numerical ratings plus a statement summarizing the faculty member's overall performance for the year will be reported in writing to the Chair. The Chair may meet with the committee to discuss the ratings and clarify any discrepancies in their relative evaluation of individuals.

Salary Adjustments Process

Merit evaluations are expected to be a substantial part of salary adjustment considerations. The procedure to be used in converting merit scores to percent salary increases per merit point will be announced by the VPB Chair and endorsed by the faculty.

The evaluations of the Merit Review Committee and those of the VPB Chair will be communicated to the Dean by the VPB Chair who will summarize recommendations for each faculty member.

The VPB Chair will hold an annual review meeting with each faculty member to communicate Merit Review Committee conclusions directly to the faculty member. During this annual review meeting the faculty member and VPB Chair will discuss and agree upon the following for the next calendar year: 1] anticipated percent efforts for merit review, and 2] goals and expectations to be used for post-tenure review.

In the event there is no salary increase University-wide in any given year, evaluations will be made as usual and pooled with subsequent annual evaluations to determine salary adjustments at the time when salary funds again become available.

This salary adjustment process will continue in force unless re-defined by the VPB Chair and re-endorsed by a majority of the academic faculty well in advance of the initiation of the salary adjustment process.

In the case of non-regular faculty, the VPB Chair will meet with the faculty member's direct supervisor in order to report Merit Review Committee conclusions regarding the faculty member and to discuss salary adjustment considerations with the supervisor.

Approved by VPB faculty: APPROVAL DATE HERE

CAPS Department

POST-TENURE REVIEW

March 17, 1999

Criteria for Post-Tenure Review

In general, criteria for post-tenure review are those listed in a previous section of this document (Criteria for Tenure and Promotion to Associate Professor). Expectations will be based upon the faculty members responsibilities in each of the areas of activity and their allocation of efforts in those areas. The areas include:

1. DVM/Undergraduate teaching
2. Graduate Student/House Officer Mentoring
3. Research/Scholarly Activity
4. Clinical Service
5. Outreach Activities
6. University/Professional Service

These expectations will be based on the criteria of percentage of time in each area as agreed upon by the department chair and the review committee in the annual merit review. This will be the same standard as is used by the merit review committee in the annual merit review. In addition the faculty member will state in his/her Annual Report of Accomplishments, specific goals and expectations for each area of activity as agreed upon with the chair. The Post-Tenure Committee will judge whether or not the faculty member's performance was substantially below expectations of tenured faculty and if the specific goals and expectations listed in the Annual Report of Accomplishments have been met.

Selection of the Post-Tenure Review Committee

The CAPS Department Chair will appoint 4 faculty members (with regular or non-regular appointments) or academic P&As (P&A appointments who have a significant involvement with teaching or research) to one of 6 merit review subcommittees. The merit review subcommittees are:

1. DVM/Undergraduate teaching
2. Graduate Student/House Officer Mentoring
3. Research/Scholarly Activity
4. Clinical Service
5. Outreach Activities
6. University/Professional Service

The Merit Review Subcommittees will meet and elect a Chair. The Chair must be a tenured faculty member. The 6 elected Chairs of the Merit Review Subcommittees will make up the CAPS Departmental Post-Tenure Review Committee. The Post-Tenure Committee will elect a chair to report to the CAPS Department Chair.

Post-Tenure Review Process

Every tenured faculty member in the Department of Clinical and Population Sciences must complete a Post-Tenure Review Report for the preceding calendar year. This should be submitted as part of the faculty member's Annual Report of Accomplishments.

Post-Tenure Review should be conducted during Spring Semester. The annual post-tenure review will take place simultaneously with the annual merit review by the Merit Review Committee, which will also serve as a Post-Tenure Review Committee. For each tenured faculty member, the Post-Tenure Review Committee will report its conclusions to the CAPS Chair.

For each tenured faculty member, the Post-Tenure Review Committee will determine whether the faculty member achieved his/her agreed-upon goals and expectations for the year. If the answer is yes, then no further action is required. If the answer is no, then the Post-Tenure Review Committee will judge whether or not the faculty member's performance was substantially below the goals and expectations of the CAPS Department. If the answer is no, then no further action is necessary. If the answer is yes, then the Committee will notify the CAPS Chair of this substandard performance.

In the event a faculty member's performance is considered substandard, without any obvious extenuating circumstances, the faculty member will be notified in writing of the action to be initiated. Such action will be a meeting including the faculty member, the department chair, and the Post-Tenure Review Committee. The extent of the deficiencies will be noted and a plan formulated to help the faculty member to be aware of the specific expectations and provide assistance in meeting the expectations as outlined for the following and subsequent years. Faculty members failing to demonstrate they have followed the formulated plan at the time of the next years post-tenure review will be contacted by the Chair and procedures dictated by Sections 7a.3 and 7a.4 of the University of Minnesota Post-Tenure Review Policy (attached) will be initiated.

ATTACHMENT 1

UNIVERSITY OF MINNESOTA POST-TENURE REVIEW POLICY

Sections 7a.2 and 7a.4

7a.3. Special Peer Review In Cases Of Alleged Substandard Performance By Tenured Faculty. 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 unit and there has not been a sufficient improvement of performance, the head of the academic unit and the elected peer merit review committee may jointly request the dean to initiate a special peer review of that faculty member. Before doing so, the dean shall independently review the file to determine that special peer review is warranted. (in the case of an academic unit that is also a collegiate unit, the request shall be made to and the review conducted by the responsible senior academic administrator.) The special peer review shall be conducted by a panel of five tenured faculty members of equal or higher rank, selected to review that individual. The faculty member under review shall have the option to appoint one member. The remaining members shall be elected by secret ballot by the tenured faculty of the unit. The members of the special review panel need not be members of the academic unit. The special review panel shall provide adequate opportunity for the faculty member to participate in the review process and shall consider alternative measures that would assist the faculty member to improve performance. The tenure subcommittee may adopt rules and procedures regulating the conduct of such reviews. The special review panel shall prepare a report on the teaching, scholarship, service, governance, and (when appropriate) outreach performance of the faculty member. It will also identify any supporting service or accommodation that the University should provide to enable the faculty member to improve performance. Depending on its findings, the panel may recommend:

- * (a) that the performance is adequate to meet standards and that the review be concluded,
- * (b) that the allocation of the faculty member's expected effort among the teaching, research, service and governance functions of the unit be altered in light of the faculty member's strengths and interests so as to maximize the faculty member's contribution to the mission of the University;
- * (c) that the faculty member undertake specified steps to improve performance, subject only to future regular annual reviews as provided in Section 7a.2;
- * (d) that the faculty member undertake specified steps to improve performance subject to a subsequent special review under Section 7a.3, to be conducted at a specified future time;
- * (e) that the faculty member's performance is so inadequate as to justify limited reductions of salary, as provided in Section 7a.4;
- * (f) that the faculty member's performance is so inadequate that the dean should commence formal proceedings for termination or involuntary leave of absence as provided in Sections 10 and 14; or

- * (g) some combination of these measures.

The panel will send its report to the dean, the head of the academic unit, and the faculty member. Within 30 work days of receiving the report, the faculty member may appeal to the Judicial Committee, which shall review the report in a manner analogous to the review of tenure decisions (see Section 7.7).

7a.4. Salary Reductions. If the special review panel recommends that the faculty member's performance is so inadequate as to justify limited reductions of recurring salary, the head of the academic unit, with the approval of the dean, may reduce the faculty member's recurring pay, subject to the following limitations:

- * (a) the amount of the decrease will not exceed 10% of the faculty member's recurring salary on the basis of any one special review;

- * (b) recurring salary may not be reduced by more than 25% from the highest level of recurring pay ever held by the faculty member;

- * (c) at least six months' notice of the decrease must be given;

- * (d) any decrease in recurring salary may be restored by the annual review process provided in Section 7a.2.

Within 30 work days of notice of the decrease, the faculty member may appeal this action to the Judicial Committee, which shall review the action and the recommendation leading to it in a manner analogous to the review of tenure decisions (see Section 7.7). This review may not reconsider matters already decided by the Judicial Committee under Section 7a.3. Any decrease in recurring pay beyond the limits specified in this subsection can only be imposed pursuant to Sections 4.5, 10, 11, and 14.

SACS Post-tenure Review Process

BACKGROUND and ASSUMPTIONS:

- Institution of the post-tenure review process should enhance, but not disrupt, existing SACS merit review processes. These are conducted in accordance with the Faculty Compensation Policy and based on the expectations defined in the SACS merit Review Procedures previously approved by the SACS tenured and tenure-track faculty.

- Annual merit review process and the annual post-tenure review process must be separate because they answer different questions. The merit review is a comparative review across the involved faculty and is a "relative" ranking. The post-tenure review is an assessment of whether or not each individual meets or does not meet "minimum expectations" (defined as substantially below department expectations).

- SACS has previously defined merit review processes, but will be given an annual opportunity to review and refine those processes (voting by secret ballot, if applicable). These guidelines comprise the necessary statements of goals and expectations for tenured faculty members for use in the annual post-tenure review exercise similar to the "7.12 statements" required by the current U-MN Tenure code.

RECOMMENDATIONS:

- The SACS post-tenure review processes will be as follows:
 1. A 3 person committee will be elected for staggered 3-year terms (initial elections will allow for a 1-year and a 2-year term for 2 of the 3 people elected). These individuals do not have to be members of the elected merit review committee if it exists in that form (vs. committee of the whole), but are not excluded from it. SACS post-tenure review committee will be comprised of 3 tenured faculty.

 2. The annual merit review and annual post-tenure review processes will be held nearly simultaneously with merit review scores for that evaluation year available to the post-tenure review committee. Interpretation of merit review/post-tenure review criteria should be such that there is no likelihood of a favorable merit review evaluation and an unfavorable post-tenure review evaluation.

RECOMMENDATIONS: (continued)

3. The individual in the last year of their 3-year term will be the chair of the post-tenure review committee for that year. During the phase in of the staggered terms, the chair will be determined by the members of the committee.
4. SACS tenured and tenure track faculty will be given an annual opportunity to review and refine the post-tenure review processes (voting by secret ballot, if applicable). This will occur on a prospective basis so as to be applicable for the next academic year (vs. changes affecting the current academic year under scrutiny).
5. All business of the SACS Post-tenure Review Committee shall be conducted on a consensus basis. In circumstances when that is not possible, a simple majority vote within the committee will prevail. These reviews are for tenured faculty only and have no effect on probationary faculty evaluations specified in the U-MN Tenure Code and associated interpretive guidelines.
6. The "specified time" period for both merit review and post-tenure review intervals shall be one calendar year. A broader view of previous performance may be considered where deemed applicable, particularly when considering salary equity adjustments.
7. SACS Chair will meet with each of their tenured and tenure track faculty individually at least once annually to discuss the outcome of the annual merit (applicable to tenured and tenure track faculty) and post-tenure reviews (applicable to only tenured faculty). This must occur before the annual merit salary increases take effect, if possible.

RECOMMENDATIONS: (continued)

8. The minimum goals and expectations (e.g. teaching loads, clinic/service commitments, faculty development endeavors, and proposed scholarly activities [e.g. grants written, papers drafted and submitted, etc.]) must be defined by prospective agreement between the Department Chair and the individual faculty member at each annual individual merit review/post-tenure review discussion. At the option of the Department Chair, an individual faculty member, or the Post-tenure Review Committee (in situations where problems have existed or are pending), this agreement can be reviewed (and approved or returned for modification with recommendations) by the Post-tenure Review Committee before its implementation. Sections A-8 (prospective teaching plans), B-8 (prospective scholarly plan), and C-5 (prospective service plan) of the CVM workload analysis form should be the point of agreement for the faculty member's plan for the coming year. At the end of the merit review/post-tenure review discussion, the faculty member and the chair should sign those 3 sections indicating acknowledgment of the agreement. Copies of these sections must be available to both the Merit Review and the Post-tenure Review Committees at the next annual evaluation (see above for prospective approval). This shall include approximate % time estimates (which total the % appointment) that will be dedicated to the endeavors of teaching, research/scholarly activity, service, and outreach. It shall, however, be annually flexible to permit mid-career adjustments and unforeseen occurrences resulting in workload shifts. For clarification on approved departmental expectations, see #13 of this document.

9. The data available for both the Post-tenure Review Committee and the merit review process should be identical including a current curriculum vita, the CVM annual workload analysis, the minimum of one official student teaching evaluation for the past 12 months, information about a faculty member's teaching (e.g. notes, syllabus, etc.), and any other applicable documentation of meritorious faculty activities. Merit review summaries from 2 (two) previous years should be available for the Post-tenure Review Committee.

RECOMMENDATIONS: (continued)

10. To assure no confusion between the two processes:

-The merit review process shall consider

- a) Whether the faculty member fulfilled the terms of the agreement between that individual and the department chair (agreed upon at the beginning of that merit evaluation term). The evaluations are, however, rendered retrospectively.
- b) How well the faculty member performed relative to his/her departmental peers on a relative comparison basis for each individual endeavor (e.g. teaching, research, service, outreach) as judged retrospectively.

[see <http://www.umn.edu/usenate/policies/faccomp.html>]

-The post-tenure review process shall consider

- a) Was the faculty member's performance substantially below the goals and expectations of the department allowing for variations in % effort allocated to teaching, research/scholarly activity, service and outreach and with the knowledge of the merit scores for that time period and the two previous years? For clarification on approved departmental expectations, see #13 of this document.
- b) Whether the faculty member fulfilled the terms of any agreement between that individual, department chair, and the previous post-tenure review committee, if previous performance was considered "substantially below the goals and expectations of that department".
[See #8, above]

11. In the event of two (2) consecutive annual post-tenure-review assessments of performance "substantially below the goals and expectations of the department" (includes post-tenure review committee's evaluation and concurrence of the department chair), the department chair shall request the CVM dean initiate a "special review" for the involved faculty member as defined in the Rules and Procedures for Annual and Special Post-tenure Review.

[see <http://www.umn.edu/usenate/faculty-senate/guidelines.html>]

RECOMMENDATIONS: (continued)

12. At the end of each annual post-tenure review process, the department chair (with the chair of the post-tenure review committee as co-signatory) shall provide each tenured faculty member in his/her department a letter stating the following:
 - a) whether the previously agreed upon goals and expectations for the year being reviewed were met or not met,
 - b) whether or not there are recommendations from the post-tenure review committee if the expectations were not met or that committee expressed concerns about that faculty member's performance,
 - c) whether the mutually agreed upon, prospective work plans for the upcoming year [defined in #8, above] would meet minimum departmental expectations as judged by the post-tenure review committee, and
 - d) whether or not a Special Post-tenure Review has been recommended to the dean by the chair (includes the need for agreement from the post-tenure review committee).

13. To assure there is no confusion about provisions in the merit review document regarding minimum expectations, selected sections are reprinted on the next page for the reader's convenience.

Respectfully Submitted 3/17/99,

SACS Ad Hoc Post-tenure Review Implementation Committee
[D. Feeney (Chair), A. Lipowitz, D. Polzin, P. Redig]

*****From the Approved SACS Merit Review Guidelines*****

I. GUIDELINES FOR THE REVIEW PROCESS

- G. Inasmuch that the overall mission of the department encompasses teaching, research, and service, it is expected that faculty will contribute a minimum to each of these areas. The total percent time in the research category on the Annual Work Effort Form should be at least 20% for all SACS faculty unless a smaller amount of time is agreed to by faculty member, department chair and Merit Review Committee in advance of merit evaluation. Furthermore, it is expected that faculty will accept the responsibility of quantitatively fulfilling their teaching, research, and service obligations.

II. ASSIGNING MERIT POINTS

Merit points will be given on a 0 to 4 basis. A score of 2 will be given for performance that meets expectations. Scores above 2 are reserved for performance that the committee believes is proportionally above expectations. It is the responsibility of the faculty member to document that their work is above expectations. After a score has been assigned for each category, the score will be multiplied by the percent effort to achieve a final value.

- A. Publication expectations: It is expected that all faculty members will submit at least one article (in which the faculty member played a major role) to a referred journal each year or have an acceptable explanation as to why this was not achieved. (See Departmental P & T Guidelines).
- B. Research expectations: It is expected that all faculty without current grant funding will submit at least one grant request each year or have an acceptable explanation as to why this could not be achieved.
- C. Clinical teaching and clinical service expectations: It is expected that all faculty will participate in clinical teaching activities in the VTH according to established schedules and provide consultative service to veterinarians as time permits. It is expected that faculty will cooperate with others to ensure that departmental and hospital goals are met. This expectation may be substantiated with student evaluations; peer evaluations; telephone or case logs; and/or letters from referring veterinarians, clients, interns, residents, etc. (See Section III).
- D. Didactic and laboratory teaching expectations: It is expected that faculty will participate in professional and graduate teaching programs according to established schedules. It is expected that the average student evaluation score for "overall rating of the teaching expertise of the instructor" will be equal to or greater than 3 for each course.

UNIVERSITY OF MINNESOTA

Twin Cities Campus

*Department of Veterinary Diagnostic Medicine
College of Veterinary Medicine*

*1333 Gormer Avenue
St. Paul, MN 55108
612-625-8787*

February 10, 1999

DEAN'S OFFICE

To: Dr. Jeff Klausner, Interim Dean

FEB 10 1999

From: Sagar M. Goyal

VETERINARY MEDICINE

Sub: Criteria and Procedures for Post-Tenure Review in the Department of Veterinary Diagnostic Medicine

Enclosed, please find "Goals and Expectations for Post-Tenure Review" and "Procedure for Post-Tenure Review" for the faculty in the Department of Veterinary Diagnostic Medicine. The departmental faculty voted unanimously to use, for post-tenure review, the same criteria as used in the departmental documents "Indices and Standards for Tenure and Promotion" and "Performance Measures for Faculty Salary Adjustment" dated May 21, 1987 and August 15, 1994, respectively. Copies of these documents are also enclosed.

Department of Veterinary Diagnostic Medicine
College of Veterinary Medicine
University of Minnesota

Goals and Expectations for Post-Tenure Review

In general, goals and expectations for post-tenure review will be the same as listed in the following two documents of the department:

1. Indices and Standards for Tenure and Promotion dated May 21, 1987, and
2. Performance Measures for Faculty Salary Adjustment dated August 15, 1994

Specific criteria will pertain to the goals and expectations agreed upon by the tenured faculty member and the Department Chair at an annual review meeting and will be stated in the context of long-term goals of the department.

Procedure for Post-Tenure Review

1. Post tenure review will occur concurrently with merit review in the spring of each year.
2. Each faculty member will submit a completed "Annual Report of Accomplishments" pertaining to the year in review. Documents to be appended with this report are: a current resume, a summary of student evaluations (if applicable), a Post-Tenure Review Report, and the specific goals and expectations as agreed upon previously by the faculty and the Department Chair.
3. Post-Tenure Review Committee: All tenured and tenure-track faculty of the department will act as a "committee of the whole" to review faculty for post-tenure review each year. This Committee will determine whether the individual faculty member has fulfilled specific goals and expectations during the year as agreed upon by the faculty member concerned and the Department Chair. If the answer is yes, no further action is needed.
4. If the Post-Tenure Review Committee determines that the performance of a faculty member is *substantially* below the previously agreed upon goals and expectations, the faculty member will be notified in writing and a meeting of the faculty member, the department chair, and the Post-Tenure Review Committee will be initiated. At this meeting, a plan will be formulated so that the faculty member can overcome the deficiencies in the next year. If the faculty member fails to demonstrate that they have followed the formulated plan by the next year's post-tenure review, they will be contacted by the Department Chair and procedures dictated in Sections 7a.3 and 7a.4 of the University of Minnesota Post-Tenure Review Policy will be initiated.

Approved by VDM Faculty February 10, 1999.



UNIVERSITY OF MINNESOTA
TWIN CITIES

Department of Veterinary Diagnostic Investigation
College of Veterinary Medicine
1943 Carter Avenue
St. Paul, Minnesota 55108
(612) 625-8787

May 21, 1987

Department of Veterinary Diagnostic Investigation
College of Veterinary Medicine
University of Minnesota

Indices and Standards for Tenure and Promotion

I. Introductory Statement

This document describes with more specificity the indices and standards which will be used to evaluate whether candidates meet the general criteria in Section 7.11 of the Regulations. For a complete perspective, the reader is advised to review Section 7 in its entirety.

II. Departmental Mission

Primary responsibilities:

1. Help reduce loss from disease in Minnesota's livestock, poultry, wildlife and companion animals and help protect the public health by providing accurate and timely discipline-related animal health diagnostic services through the Minnesota Veterinary Diagnostic Laboratories, and by providing official laboratory services for the Minnesota Board of Animal Health and the Minnesota Racing Commission.
2. Teach veterinary students the principles of diagnostic medicine and prepare them to utilize the Diagnostic Laboratory as a resource for diagnostic assistance and continuing education throughout their professional careers.
3. Advance knowledge in veterinary medicine by conducting animal health research and communicating the results through publications in scientific journals and presentations at scientific meetings.
4. Provide continuing education for veterinary practitioners and animal owners by consultation, diagnostic investigation, and participation in continuing education programs of professional organizations and the College of Veterinary Medicine.
5. Prepare students for a career in diagnostic medicine through residency and graduate training programs.

Secondary responsibilities:

1. Support other programs of the University by providing various laboratory services for the Veterinary Teaching Hospital, research projects, and other University departments.
2. Serve the veterinary profession by participating in local, state, national, and international professional organizations and by providing consultation to local, state and federal governments.
3. Serve the University community through committees and other activities.

III. Criteria for Tenure

The basis for awarding indefinite tenure is the determination that the achievements of an individual have demonstrated the individual's potential to continue to contribute significantly to the mission of the University and to its programs of teaching, research, and service over the course of the faculty member's career. To be awarded indefinite tenure, a faculty member will be expected to have demonstrated effectiveness in teaching, productivity in research and distinguished achievement in discipline-related service. Because there is diversity within the Department in the distribution of responsibilities among these three areas, the emphasis on each endeavor may vary, but accomplishment in all three areas must be demonstrated by each faculty member. The main sources of departmental funding are directed to diagnostic investigation, therefore mission-oriented professional service must be a major effort of probationary faculty who are supported primarily by service programs.

A. Discipline-Related Professional Service

To be granted indefinite tenure the candidate must make major contributions to the provision of timely and accurate diagnostic service. The quantity of the contribution will be documented in the annual report of the Department. The quality of achievement will be measured by peer evaluation in accordance with established University policy regarding promotion and tenure. Supplemental evidence of achievement may include evaluation by veterinary practitioners, research collaborators, animal owners, and other users of departmental services. Special awards or citations for professional achievement are additional indicators of distinguished contribution to professional service programs.

B. Teaching

A faculty member must demonstrate competence in teaching, achieving a level at which it can be expected with confidence that the person will continue to be an effective educator throughout an academic career. Areas of instruction include the professional and graduate curricula, the supervision or advising of professional and graduate students or diagnostic medical residents, and continuing education/extension for veterinarians and others concerned with animal health. All faculty are expected to contribute in a competent manner to one or more of these areas of instruction. The development of unique teaching resources from diagnostic case materials is encouraged.

Effectiveness of teaching is based on:

- 1) Review of courses taught, directed or developed by the candidate at the professional or graduate level.
- 2) Evaluation by students.
- 3) Evaluation by peers: classroom visitations, review of material covered, syllabi, and examinations.
- 4) Advising of graduate degree candidates for some, but not all probationary faculty positions.

C. Research and Scholarly Activity

Faculty are expected to demonstrate research capacity and productivity. The creative use of case material submitted for diagnostic assistance provides a unique opportunity for faculty to make important contributions to animal health research. In addition, investigation of these materials serves to identify animal health problems that are most urgently in need of structured research that is designed to test scientific hypotheses.

Documentation of research capacity and productivity may be in several forms. The production of scholarly publications is a key measure of academic ability. Publication of research findings in refereed journals provides definitive evidence of the faculty member's capacity for research. Presentations of research findings at scientific meetings is supplemental evidence of research productivity. The submission of technically sound research grant proposals provides evidence of determination to succeed in research. The preparation of review articles, books and book chapters is considered to be a meritorious scholarly achievement.

D. Service

Participation and leadership in local, state, national and international professional organizations and the provision of academic guidance to state or federal government are regarded as further evidence of professional competence.

Faculty are expected to serve on committees, prepare reports and undertake other activities that are essential to the governance of the Department and the College. Although such activities are essential, they are not in themselves bases for achieving tenure.

IV. Criteria for Promotion

A. To Associate Professor

Promotion to this rank is usually associated with a tenure decision, therefore the requirements are in accordance with the standards for achieving indefinite tenure.

B. To Professor

For promotion to Professor, evidence is sought for:

- 1) A national-international reputation, based on the quality of contributions made by the candidate. It may include invitations to national-international symposia, election to prestigious scientific organizations and holding of offices in professional societies.
- 2) Letters from authorities in the candidate's field assessing the candidate's scientific contributions, particularly to determine whether or not the candidate is among the leaders in his/her field.
- 3) Leadership in a training program for residents or graduate students that has resulted in the placement of trainees in academic or industrial positions in their fields.

V. Procedures

The Department complies with the Procedures for Reviewing the Performance of Probationary Faculty as provided by Sections 16.3, 7.4, and 7.61 of the Regulations Concerning Faculty Tenure and distributed annually by the Vice President for Academic Affairs.

Department of Veterinary Diagnostic Medicine
College of Veterinary Medicine
University of Minnesota

Performance Measures for Faculty Salary Adjustment

Criteria to be evaluated for performance measurement

- 1) **Mission Oriented Professional Service Through the Veterinary Diagnostic Laboratory**
 - a) Efficiency and effectiveness of diagnostic service
 - b) Quantity of diagnostic service
 - c) Effectiveness of laboratory section management
 - d) Collegiality and interpersonal relations

2. **Research**
 - a) Peer reviewed publications
 - b) Presentations at scientific meetings
 - c) Grant/contract applications and funding
 - d) Other scientific publications

3. **Teaching**
 - a) Professional/undergraduate curriculum
 - b) Outreach/continuing education/lay publications
 - c) Graduate courses instructed
 - d) Graduate student advising

4. **Services to the University and Profession**
 - a) Committee participation (department, college, university)
 - b) Support of university programs
 - c) Participation in professional associations
 - d) Reviewer for scientific journals, granting agency panels, etc.
 - e) Community activities

5. **Professional development/self improvement**

Procedure for Annual Salary Adjustment

The faculty member's performance is evaluated annually by each of his/her faculty peers in the department. This evaluation is based on each person's observations and experience working with the faculty member, together with evaluation of the faculty member's Annual Report of Accomplishments, updated Curriculum Vitae, and Teaching Portfolio.

The percentage of each faculty member's total effort that is devoted to each activity is determined annually in concert with the Department Chair.

The mechanism for recording and summarizing these peer evaluations, and determination of the manner in which this information is used for annual salary adjustment are decided each year at a departmental faculty meeting that is held prior to the annual performance evaluation.

Approved by the VDM Faculty - August 15, 1994.

Procedures for Post-Tenure Review

The purpose of the post-tenure review process is to affirm and maintain the vitality of tenured faculty members through annual review and recognition of faculty contributions by faculty peers and University administrators. All tenured faculty members are subject to annual post-tenure review.

Post-Tenure Review Process

Every tenured faculty member in the Department of Veterinary PathoBiology must complete a Post-Tenure Review Report for the preceding calendar year. The form should be submitted as part of the faculty member's Annual Report of Accomplishments.

Post-Tenure Review should be conducted during Spring semester. The annual post-tenure review will take place simultaneously with the annual merit review by the Merit Review Committee, which will also serve as a Post-Tenure Review Committee. For each tenured faculty member, the Post-Tenure Review Committee will report its conclusions to the VPB Chair.

For each tenured faculty member, the Post-Tenure Review Committee will determine whether the faculty member achieved his/her agreed-upon goals and expectations for the year. If the answer is yes, then no further action is required. If the answer is no, then the Post-Tenure Review Committee will judge whether or not the faculty member's performance was substantially below the goals and expectations of the VPB Department. If the answer is no, then no further action is necessary. If the answer is yes, then the Committee will make recommendations to the VPB Chair regarding remedial action and the Committee and Chair will follow procedures outlined in "Rules and Procedures for Annual and Special Post-Tenure Review" (revised March 5, 1998 by the Tenure Subcommittee of the Senate Committee on Faculty Affairs).

Approved by VPB faculty: APPROVAL DATE HERE

Guidelines Concerning Tenure and Promotion

(required by Section 7.12 of the University Tenure Code)

Department of Veterinary PathoBiology College of Veterinary Medicine University of Minnesota

The purpose of these guidelines is to describe procedures and policies for deciding tenure and promotion issues in the Department of Veterinary PathoBiology.

1. Criteria for Tenure and Promotion to Associate Professor:

These guidelines describe the indices and standards which will be used to evaluate whether faculty in Veterinary PathoBiology meet the general criteria in Section 7.11 of University of Minnesota Regulations Concerning Faculty Tenure. For a complete perspective of the University of Minnesota tenure regulations, the reader is advised to review Section 7 in its entirety.

To be awarded indefinite tenure a faculty member must show evidence of significant scholarly contributions in research and effectiveness in teaching. Service responsibilities also will be considered for those individuals with a heavy service commitment.

A. Teaching

Teaching includes instruction in the classroom and laboratory, individual conferences with undergraduate, professional, and/or graduate students, and instruction in extension/continuing education programs. Credit is given for all educational efforts, including those to upgrade the curriculum and provide unique educational opportunities. Tenure should be reserved for candidates whose teaching ability is equal to or above average with respect to all tenured faculty in the Department.

Effectiveness and Quality in teaching is based on:

1. **Content** - Information presented to students should be current and accurate, as determined by peers and the scientific information available. It should be pertinent to the overall teaching mission of the Department.
2. **Organization** - Information should be presented in a manner that is understandable to the student. The actual teaching methods are at the discretion of the faculty member.
3. **Examinations** - Examinations should be administered and graded in a timely manner and should evaluate the student's competency.

4. **Communication Skills** - The ability to successfully convey scientific information depends on verbal and written communication skills. These include, but are not limited to, proper and comprehensible use of language, enthusiastic expression, and appropriate pace of presentations.
5. **Graduate Education** - Demonstrated proficiency in advising and directing graduate students. Overall contributions to the graduate programs will also be considered. These include advising postdoctoral associates and students at the master's or doctorate levels, and service on graduate advising and examining committees.

Methods to substantiate credible performance in teaching:

1. **Peer evaluations** - These may involve classroom visits and review of course content, including notes, handouts, examinations, and the other learning/teaching aids (teaching portfolio).
2. **Commitment to improvement** - This is shown by evidence that the individual has attempted to improve teaching performance.
3. **Student evaluations** - These evaluations must be obtained for at least one course in which an individual makes a significant contribution.

B. Research Activities

Faculty members are expected to contribute to the body of knowledge in their field and to obtain appropriate funding to support their scholarly activities. During the probationary years, faculty need to establish a scholarly focus, become recognized as independent investigators, and establish collaborative research endeavors.

Mechanisms for documentation of quality and distinction in research may include:

1. A review of the candidate's publications with primary emphasis given to those published in or accepted by refereed scientific journals. In multi-authored articles the contribution of the individual under review should be specifically described. It is anticipated that the candidate will have a significant number of senior author publications.
2. Proposal submission to internal and external funding agencies and demonstrated ability to obtain appropriate funding for research endeavors.
3. Evident capability in managing an independent research laboratory and/or conducting field investigations and ability to interact productively with colleagues in the Department, College, or University.

4. Evidence of quality in research as provided by peer evaluations from colleagues within and outside the University of Minnesota. Such evaluations are most useful if they are as detailed as possible, assess the originality of the work and its actual or likely influence on the field, and indicate the relative merit of the candidate's contributions as compared to other individuals of similar experience in the same or related specialty. Between 6 and 8 peer evaluation letters are expected. Half of the peer evaluators will be selected by the candidate, and half will be selected by the Chair in consultation with tenured faculty.
5. Oral or poster presentations of research findings at scientific meetings constitutes evidence of research activity.

C. Service

1. Discipline-related service. This includes primary provision of diagnosis or therapy of animal disease, maintenance of animal health, and professional diagnostic and consultative service provided to the Veterinary Teaching Hospital, the Veterinary Diagnostic Laboratory, and licensed practicing veterinarians. Discipline-related service is considered a significant factor in promotion and tenure when the time of assigned involvement is greater than 10 percent effort. Determination of meritorious service will include evaluations of timeliness, accuracy, and the use of appropriate technology.

A candidate should receive credit for discipline-related services related to an academic discipline, e.g., manuscript and grant proposal review, offices in professional organizations, etc.

2. Other services. Faculty are expected to contribute to the governance of the Department, the College, and the University but these do not in themselves represent qualifications for tenure, although the time required may be considered in weighing quality and quantity of effort in teaching and research.

2. Criteria for Promotion to Professor:

Promotion to Professor will normally be considered following a period at the rank of Associate Professor during which time the candidate demonstrates continual academic progress and maturity and assumes an academic leadership role in the Department. It is anticipated that at least four or five years at the rank of Associate Professor will be required. In addition to criteria used for Associate Professor appointments, evidence is sought for:

1. Demonstrated success in research as evident by research publications and extramural funding.

2. A distinguished national or international reputation in the scientific community, as shown, for instance, by invitations to symposia or election to scientific organizations or holding of offices in scientific societies.
3. Letters from authorities in the candidate's field assessing the candidate's scientific contributions, particularly to determine whether or not the candidate is providing leadership in his/her field. Between 6 and 8 letters are expected. Half of the authorities will be selected by the candidate, and half will be selected by the Chair in consultation with tenured faculty.
4. Successful training of pre- and/or post-doctoral trainees that has resulted in placing trainees in academic, government, or industrial positions in their fields. Typically, this would mean that the individual has been appointed as a full member of the graduate faculty.
5. Long-term commitment to scholarly creativity.

3. Promotion and Tenure Procedures:

Date	Action
July 1	Chair requests all Assistant and Associate Professors to update their CVs
Aug. 1	<p>Chair asks Associate and Full Professors to review the personnel files of Assistant Professors regarding readiness for tenure and promotion.</p> <p>Chair asks Full Professors to review personnel files of Associate Professors regarding readiness for promotion.</p>
Sept. 1	<p>Chair calls a meeting of Associate and Full Professors to obtain recommendations regarding faculty members who should develop dossiers in order to be considered for tenure and promotion to Associate Professor.</p> <p>Chair calls a meeting of Full Professors to obtain recommendations regarding faculty members who should develop dossiers in order to be considered for promotion to Full Professor.</p> <p>(Individual faculty members can recommend themselves for tenure and/or promotion consideration.)</p> <p>Chair and potential candidates for tenure and/or promotion prepare dossiers. The Chair and the candidate may seek advice from appropriate senior faculty in preparation of these dossiers.</p>
Nov. 1	Chair notifies faculty that dossiers are available for review.
Dec. 1	Chair calls meeting of appropriate faculty to vote on candidates to be put forward for tenure and/or promotion. Faculty should submit written comments to the Chair explaining reasons for their vote for each candidate.

4. Criteria for Post-Tenure Review:

In general, criteria for post-tenure review are those listed in the first section of this document (Criteria for Tenure and Promotion to Associate Professor). A faculty member is expected to show evidence of significant scholarly contributions in teaching and research and, for those individuals with a heavy service commitment, effective service. Specific criteria will pertain to the goals and expectations agreed upon by the tenured faculty member and the VPB Chair at an annual review meeting. Specific criteria should be stated in the context of long-term goals.

In the Annual Report of Accomplishments document, the tenured faculty member will state how goals and expectations were met in the preceding calendar year. A faculty post-tenure review committee (Merit Review Committee) will judge whether or not the faculty member's performance was substantially below the specific goals and expectations during the calendar year.

Approved by VPB faculty: APPROVAL DATE HERE

Procedures For Annual Merit Evaluations For Use In Salary Adjustments

These guidelines provide procedures for preparing annual faculty merit evaluations. The purpose of the annual merit evaluation is to provide a basis for salary adjustments made by the VPB Department Chair. The process of merit evaluation is also intended to produce constructive suggestions that encourage improved faculty performance.

Faculty on both regular and non-regular appointments will be reviewed annually, but only faculty with regular appointments will be eligible to serve on the Merit Review Committee (described below). A regular appointment is a tenured or tenure track position. A non-regular appointment is a position with a specified termination date.

Faculty merit evaluations and faculty salary adjustments normally will be made during spring semester. The evaluations and adjustments will be based on criteria established early in the preceding spring semester so that the criteria will be known well in advance of the decision making processes. In the absence of an annual review of evaluation and adjustment criteria, the criteria from the previous year will continue in force.

Annual Report of Accomplishments

Each academic faculty member must submit a completed Annual Report of Accomplishments pertaining to the previous calendar year. The VPB Department Office will append a summary of student evaluations of teaching to the faculty member's Annual Report (student evaluations must be obtained for at least one course in which the faculty member makes a significant contribution). The VPB Department Chair will append the anticipated percentage efforts in teaching, research and service that were approved for each faculty member.

Merit Review Committee

A committee composed of five faculty members holding regular appointments, representing each of five defined fields in the department, will be selected to comprise a Merit Review Committee. Committee members will be selected randomly from each field (e.g., one name from all eligible faculty in each field will be drawn from a hat) by the Department Chair. Currently, the defined fields are:

Anatomy;
Avian;
Biochemistry/Genetics/Molecular Biology;
Clinical Pathology/Immunology/Microbiology//Pathology/Parasitology; and
Pharmacology.

The Merit Review Committee will elect a Chair from its ranks. This Committee Chair will serve on the committee for the following year, but not as Chair. Other members of this committee will not be eligible to serve consecutive years. Persons serving on the Administrative Council will not be eligible to serve on the committee.

The VPB Department Chair will call to order the initial meeting of the Merit Review Committee to give the committee its charge, timeline and pertinent documentation. Documents submitted for each faculty member will include:

- Annual Report of Accomplishments,
including the faculty member's Workload Distribution Report;
- Student evaluations of the faculty member's teaching,
compiled by the VPB Office; and
- Anticipated percentage efforts in teaching, research, and service,
approved by the VPB Chair for the calendar year being evaluated.

The performance and productivity of each faculty member will be rated according to each of the following criteria by each member of the Merit Review Committee:

- A. Effectiveness and quality with respect to the faculty member's role in teaching,
including advising graduate students.
- B. Quality and productivity in research and scholarly activities, and demonstrated
effort to apply for and obtain appropriate funding.
- C. Quality and productivity in discipline-related and other service, including
University, College, Departmental and graduate program administration.

For each of the criteria, each member of the committee will independently assign a numerical rating based on the scale below. After discussion of the numerical ratings, the mean of committee member ratings will be calculated. Each score will be multiplied by the faculty member's percentage of effort in teaching, research, and service to provide an overall rating for each faculty member.

The scale to be used for rating faculty members is:

- 0 — very poor
- 1 — below average performance
- 2 — average performance
- 3 — above average performance
- 4 — superior performance

For each faculty member, the committee's numerical ratings plus a statement summarizing the faculty member's overall performance for the year will be reported in writing to the Chair. The Chair may meet with the committee to discuss the ratings and clarify any discrepancies in their relative evaluation of individuals.

Salary Adjustments Process

Merit evaluations are expected to be a substantial part of salary adjustment considerations. The procedure to be used in converting merit scores to percent salary increases per merit point will be announced by the VPB Chair and endorsed by the faculty.

The evaluations of the Merit Review Committee and those of the VPB Chair will be communicated to the Dean by the VPB Chair who will summarize recommendations for each faculty member.

The VPB Chair will hold an annual review meeting with each faculty member to communicate Merit Review Committee conclusions directly to the faculty member. During this annual review meeting the faculty member and VPB Chair will discuss and agree upon the following for the next calendar year: 1] anticipated percent efforts for merit review, and 2] goals and expectations to be used for post-tenure review.

In the event there is no salary increase University-wide in any given year, evaluations will be made as usual and pooled with subsequent annual evaluations to determine salary adjustments at the time when salary funds again become available.

This salary adjustment process will continue in force unless re-defined by the VPB Chair and re-endorsed by a majority of the academic faculty well in advance of the initiation of the salary adjustment process.

In the case of non-regular faculty, the VPB Chair will meet with the faculty member's direct supervisor in order to report Merit Review Committee conclusions regarding the faculty member and to discuss salary adjustment considerations with the supervisor.

Approved by VPB faculty: APPROVAL DATE HERE

UNIVERSITY OF MINNESOTA

Twin Cities Campus

11-18-99

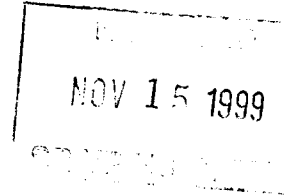
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① Makefile: Policies for
Comp/PT

② Copy to Mr. Micky Bebeau

November 11, 1999



TO: Frank B. Cerra, M.D.
Senior Vice President for Health Sciences

FROM: Sandra R. Edwardson, PhD
Dean

RE: Policy Procedures Follow-Up

Attached are copies of the School of Nursing policies for yearly review for compensation and post-tenure review. As outlined in the post-tenure review document, each spring faculty members submit to their division head updated CVs and their goals for the coming year. The division heads then meet with each member individually to review progress on current year goals and discuss plans for the coming year. When it is time to set salaries, the input from the Merit Review Committee and the division heads is combined and salaries are set by the deans and division heads.

I hope this will provide the information the committees need.

SRE:rmr

Attachments

University of Minnesota
School of Nursing

Merit Criteria, Guidelines and Allocation
Implemented in FY 1995

Merit Committee Purpose Statement

The School of Nursing Merit Committee provides a vehicle for recognizing the contributions of *individual regular faculty* to the missions (teaching, research, and service) of the School and the University. The Merit Committee provides a peer review perspective and holistic judgment in the context of academic freedom, and with commitments to both diversity and excellence in faculty achievements.

The functions of the Merit Committee are to:

1. Rate each regular faculty member's contributions to the missions of the School of Nursing and the University within a designated time
2. Make merit recommendations to the Dean based on the peer review
3. Track the pattern of Merit Committee recommendations as compared to the merit-based salary increases given by administration

Definitions

For purposes of review for merit-based salary increases, **merit** is defined as a subjective, holistic judgment of the quality of an individual's contribution to the missions (teaching, scholarship and service) of the School of Nursing and the University within a designated time. Two levels of merit are differentiated: Meritorious Contribution and Exceptional Meritorious Contribution.

Meritorious contribution is *commendable* achievement in meeting the expectations of regular faculty members at a given academic rank during a designated time. The contribution must be toward all three missions (teaching, scholarship and service) of the School of Nursing and the University. Regular faculty members who are judged to have made meritorious contributions earn salary increases.

Exceptionally meritorious contribution is *outstanding* achievement in meeting expectations of regular faculty members at a given academic rank during a designated time. The outstanding contribution must be to at least one mission of the School of Nursing and the University, with commendable contribution to each of the other missions. Regular faculty members who are judged to have made exceptional meritorious contributions earn monetary rewards greater than that given to those who are judged to have made meritorious contributions.

NOTE: It is not essential that every regular faculty member be judged to be in one of these merit categories. Occasionally, the Merit Committee may judge that a regular faculty member's contribution does not meet the criteria for either merit category.

Assumptions

1. As indicated in the definition, a determination of merit is a subjective, holistic judgment of the quality of an individual's contribution. Determination of merit is not an objective judgment based on a sum of activities, number of publications, etc.
2. Regular faculty members who make meritorious contributions to all three missions of the

School of Nursing and the University earn salary increases. Regular faculty members who make exceptional meritorious contributions earn monetary rewards greater than that given to those who make meritorious contributions.

3. A merit judgment is more norm-referenced than criterion-referenced, and the norm is high ability, hard-working individuals who fulfill their faculty roles and responsibilities.
4. General expectations for regular faculty contributions to each mission (teaching, scholarship, and service) at each academic rank serve as *guidelines*, not standards for judging merit.
5. Regular faculty members who are on sabbatical leaves or LOAs likely will not have opportunities to contribute to all three missions of the School of Nursing and University. Therefore, these faculty members will be reviewed for merit salary increases by School of Nursing administrators rather than by the Merit Committee.

**University of Minnesota
School of Nursing**

Merit Review Procedures

Merit review for the School of Nursing is governed by the Merit Criteria and Guidelines deliberated by the General Assembly in February 1995. Each spring, faculty members are asked to submit the following to their division heads:

1. Two copies of an updated CV--one with activities highlighted relevant to this year,
2. a cover letter of no more than two pages briefly describing major accomplishments with sufficient detail to explain why merit recognition and reward are earned, and
3. a one-page summary report of student evaluations of 1 or more courses taught since the last annual review.

For merit review purposes, these materials are reviewed by a Regular Faculty Merit Review Committee (appointed by the Consultative Committee) or an Academic Professional Merit Review Committee (appointed by the Associate Dean). Individuals who fail to submit materials will not be reviewed by the Merit Committees and will not be considered for pay increases.

The Consultative Committee appoints the Merit Committee as it does other committees.

Members of the administration rate faculty and education specialists on each of the missions separately and assign more than three ratings (commendable, outstanding and neither). Administrators apply the same criteria and standards used by the Merit Committee. On occasion administrators may give more weight to one of the three missions because a faculty member has established goals to concentrate on that mission for the year or has had heavier than usual assignments in a particular mission area.

University of Minnesota
School of Nursing

I. Proposed Procedures for Post-Tenure Annual Review

- A. The purpose of Post-Tenure Review is to affirm and maintain faculty members' vitality and to improve performance if necessary.
- B. Assumptions on which the proposed plan for post-tenure review is based:
 - a. The Faculty Evaluation Committee (FEC) will serve as the Peer Annual Review Committee (PARC).
 - b. Performance is understood to mean expected performance at rank (as described in 7.12 statement, which are the goals and expectations of unit) with modifications that allow for changing career patterns of faculty, which in any given year, put more emphasis on one or more missions.
 - c. The Review is peer driven, using data provided by faculty to administration through regular review mechanisms.
 - d. The review is exception based. According to University guidelines, faculty are permitted to develop a plan that does not require full review of everybody, but focuses on exceptions to expectations of performance.
 - e. There is a pattern of substantially below standard performance before any PARC review is triggered.
 - f. "Pattern" shall mean data in records of three-year performance show below standard performance.

School of Nursing

II. Proposed Procedure for Post-Tenure Annual Review

Timeline	Tenured Faculty*	Merit Review Committee	Division Head	Peer Annual Review Committee (PARC)**	Dean	Peer Review Special Committee
Spring 1999	Submit review materials to meet review committee and have annual review meeting with Division Head with plan for meeting SoN goals and objectives for 1999-2000	Reviews materials for merit - forwards report to Division Heads	Meets with tenured faculty member to discuss merit review and goals. Division Head and faculty member agree and sign proposed plan. Division Head records brief paragraph of meeting for file.			
Spring 2000	Procedures repeat	Procedures repeat	Meets with <u>each</u> tenured faculty member and evaluates achievement for 1999-2000 goals. Evaluation must be in some kind of written form. If performance is substantially below standard, <ul style="list-style-type: none"> • a brief <u>written</u> report is made and communicated to faculty • copy sent to Peer Annual Review Committee. • faculty counseled to help improve performance • <u>set new goals for upcoming year</u> 	Receives report from Division Head of faculty whose performance is substantially below standard. Keeps report on file. Faculty may consult with PARC.		
Spring 2001	Procedures repeat	Procedures repeat	Procedures repeat	Procedures repeat		
Spring 2002 ↓ Process continuous	Procedures repeat	Procedures repeat	Procedures repeat	Reviews 3-year performance of tenured faculty member. If committee concurs that a pattern of substantially below standard performance has been documented which has not improved with Division Head assistance, refers to Dean. If the PARC does not concur, <u>no further action is taken.</u>	If PARC concurs, Dean reviews and determines whether creating a Peer Review Special Committee is warranted.	<u>See University Rules and Procedures for Annual and Special Post-Tenure Review 1998</u>

* Faculty are free to consult with Peer Annual Review Committee (PARC) at any time during this process.

** The Peer Annual Review Committee shall be the elected Faculty Evaluation Committee - See Bylaws Revision, February 1999.

UNIVERSITY OF MINNESOTA

Twin Cities Campus

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October 21, 1999

MEMORANDUM

TO: Michael Till, DDS, Ph.D.
Dean, School of Dentistry

FROM: Frank B. Cerra, M.D.
Senior Vice President for Health Sciences

RE: Policy/Procedure Follow-Up

I am working with faculty governance in the AHC to provide oversight on three policies/processes that are important to the mission:

- 1) Yearly performance review
- 2) Yearly review for compensation
- 3) Post-tenure review

Recognizing that these may be performed in several combinations at the unit level, please forward to me the policies and a summary of the process at the school and unit (departmental) level for these three areas.

The AHC Finance and Planning Committee will then provide a content review for the compensation area. They will also be sending around a questionnaire that they are developing.

The AHC Faculty Affairs Group will do a content review of the yearly performance and post-tenure review area.

Comments and concerns will then be provided to the originators of the policy/process. Please have the documents to me by November 15, 1999.

Thank you.

FBC/bmh

CC: ✓ Muriel Bebeau, Chair, AHC-FCC
Dan Feeney, Chair, AHC Finance and Planning Committee

The October 21st Memo regarding Policy/Procedure Follow-Up was sent to:

Michael Till
Alfred Michael
Sandra Edwardson
Jeffrey Klausner
Edith Leyasmeyer
Marilyn Speedie
Richard Ziegler

From: "Frank B. Cerra" <cerra001@maroon.tc.umn.edu>
Date: Tue, 15 Feb 2000 18:20:42 -0600
To: Alfred F Michael <micha003@tc.umn.edu>,
Michael J Till <tillx001@maroon.tc.umn.edu>
Subject: Repeated Request for Information

Al and Mike, please forward to me the departmental/school policies on faculty annual performance review, annual review of faculty for compensation, and post-tenure review. It is essential that I receive this information ASAP. Or, do you wish that I seek it directly from the department heads.

Thanks

Restorative Sciences
Oral Sciences

FRANK - HERE ARE ITEMS WE USE FOR BOTH FACULTY EVALUATION & COMPENSATION DECISIONS. THE PROCESS BEGINS AT THE DEPT/DIV LEVEL → ARRIVES AT MY DESK WHERE PERSONAL DISCUSSIONS WITH THE DEPT CHAIR ARE HELD. TO THE EXTENT POSSIBLE, I TRY TO SUPPORT THE CHAIRS' DECISIONS BUT SOMETIMES MODIFICATIONS ARE MADE (ALWAYS A JOINT DECISION) THE DEPT CHAIRS ARE RESPONSIBLE FOR DISCUSSING THE EVALUATION WITH THEIR FACULTY - AND ANY DISSATISFIED FACULTY MEMBER CAN APPEAL TO ME.

Ulke

Legend:

- O = Outstanding
- M = More Than Adequate
- A = Adequate
- I = Inadequate

Director of Division
Responsibilities/Evaluation

	Self	1st Peer	2nd Peer	Chair	Other
1. Develop and monitor undergraduate curriculum in accordance to ADA/CDE guidelines and standards.					
2. Appoint directors for the preclinical, clinical and didactic courses.					
3. Coordinate courses, course evaluations, learning resources and the curriculum for content and sequence within the discipline.					
4. Monitor outcome measurement process and results (grades) prior to submission to department chairperson.					
5. Monitor and coordinate undergraduate courses with respect to the offerings of the advanced educational programs for that discipline when applicable.					
6. Evaluate and monitor faculty and staff needs and performance for the undergraduate program and make recommendations for hire.					
7. Develop alternatives for honors, remedial, elective and extramural program needs when applicable.					
8. Assure high quality patient treatment protocols.					
9. Develop, coordinate and monitor continuing education programs.					
10. Assure that ongoing forum exists for deliberation among division faculty/staff, etc. regarding concerns, problems, etc. relating to the teaching mission of the division.					
11. Provide input to the Executive Committee through the department chairperson or in person when applicable.					
12. Review and sign travel request(s) for those in the division prior to submission of department chairperson.					
13. Sign off on teaching supply requisitions.					

Signatures:

Self _____, Date _____

1st Peer _____, Date _____

2nd Peer _____, Date _____

Chairperson _____, Date _____

Other _____, Date _____

January, 1995

(see reverse side for space to list goals/objectives for next academic year)

Please list, as briefly as possible, four (4) goals/objectives you plan to accomplish during the next academic year.

1.

2.

3.

4.

Legend:

- O = Outstanding
- M = More Than Adequate
- A = Adequate
- I = Inadequate

Director of Advanced Education Graduate
Responsibilities/Evaluation

1. Develop and monitor advanced education/graduate program in accordance to ADA/CDE guidelines and standards.
2. Appoint directors for the appropriate clinical and didactic courses as needed.
3. Coordinate courses, course evaluations, learning resources and the curriculum for content and sequence within the discipline.
4. Evaluate and monitor faculty and staff needs and performance for the advanced education/graduate program and make recommendations for hire.
5. Assure high quality patient treatment protocols.
6. Provide input to the Executive Committee through the department chairperson or in person, when applicable.
7. Sign off on teaching supply requisitions.

Self	1st Peer	2nd Peer	Chair

Signatures:

Self _____, Date _____

1st Peer _____, Date _____

2nd Peer _____, Date _____

Chairperson _____, Date _____

January, 1995

(see reverse side for space to list goals/objectives for next academic year)

Please list, as briefly as possible, four (4) goals/objectives you plan to accomplish during the next academic year.

1.

2.

3.

4.

Legend:

- O = Outstanding
- M = More Than Adequate
- A = Adequate
- I = Inadequate

Department Chairperson
Responsibilities/Evaluation

	Self	1st Peer	2nd Peer	Dean
I. <u>Administrative Activities Related to Departmental/Program Operations</u>				
A. Planning				
1. Determining annual department goals, objectives and plans in compliance with school/university mission.				
2. Providing leadership in developing departmental policies.				
B. Maintaining Operations				
1. Planning, prioritizing, and monitoring budget requests and expenditures (interim for clinical operations).				
2. Coordinating interdepartmental programs within the School of Dentistry.				
3. Acting as principal link between the Dean's Office and departmental faculty and staff.				
4. Representing the department on the Executive Committee and communicating actions taken by the Executive Committee to departmental faculty.				
5. Seeking additional funding sources to augment the development of programs not covered by department/budget.				
6. Evaluating and reporting departmental space/equipment utilization and needs.				
7. Following school Constitution with regard to duties/rules relating to department chairs, departments and programs.				
8. Monitoring and evaluating FYEs in conjunction with budget and full-time/part-time faculty requests.				
C. Personnel				
1. Overseeing faculty and staff activity which may include patient services, diagnostic services, etc. when applicable (interim for clinical staff).				
2. Recommending to appropriate committees or the Dean regarding appointments, salary, promotions, tenure, leave, travel and committee assignments.				
3. Communicating School of Dentistry and University policies to departmental faculty and staff for implementation.				
4. Developing and implementing an orientation for new faculty, when applicable.				
5. Providing faculty with opportunities for professional growth and development.				

Please list, as briefly as possible, four (4) goals/objectives you plan to accomplish during the next academic year.

1. _____

2. _____

3. _____

4. _____

- Legend:
 O = Outstanding
 M = More Than Adequate
 A = Adequate
 I = Inadequate

Faculty Evaluation Protocol
 Responsibilities/Evaluation

	Self	1st Peer	2nd Peer	Dir.	Chair
I. TEACHING/CLINICAL					
1. Program planning					
2. Course development					
3. Contributions to other areas					
4. Quality of Instruction					
5. Unique clinical accomplishments or abilities					
6. Participation in departmental activities to the level assigned					
7. Advising students					
8. Updating offerings					
II. RESEARCH/CREATIVE					
1. Books/Chapters					
2. Articles					
3. Scientific presentations					
4. Grants					
5. Peer recognition at departmental/local/national levels					
III. INSTITUTIONAL SERVICE					
1. Exceptional service on departmental/school/university committees					
2. Unique administrative responsibilities					
3. Participation in administrative activities to the level assigned					
4. Served on departmental/school/university committees					
5. Participation in professional organizations					
6. Contributions in continuing education/outreach programs .					
7. Community service					
8. Effective utilization of time					
IV. PROFESSIONAL SERVICE					
1. Offices					
2. Editorship/referee					
V. PROFESSIONAL DEVELOPMENT					
1. Significant improvement of qualifications					
2. Attending meetings and continuing education courses					
3. Keeping abreast of field					
VI. OTHER					
1. Awards/Honors					

Signatures:

Self _____ Date _____

1st Peer _____ Date _____

2nd Peer _____ Date _____

Director _____ Date _____

Chairperson _____ Date _____

briefly as possible, four (4) goals/objectives you plan to accomplish during the next year.

Legend:

- O = Outstanding
- M = More Than Adequate
- A = Adequate
- I = Inadequate

Clinical Dental Specialist
Responsibilities/Evaluation

I. TEACHING/CLINICAL

- 1. Prepare and present lectures related to clinical programs.....
- 2. Prepare and present seminars/conferences related to clinical program.....
- 3. Develop, implement and evaluate clinical practice examinations...
- 4. Actively teach directly and by example of quality clinical patient care.....
- 5. Monitor and evaluate patient care in terms of timeliness, quality appropriateness and patient centeredness.....
- 6. Actively participate on class committees and other clinical committees where appropriate.....

2. INSTITUTIONAL SERVICE

- 1. Participate in assigned management activities as related to clinical teaching/patient care.....
- 2. Contribute to continuing education and outreach programs.....

3. PROFESSIONAL DEVELOPMENT

- 1. Demonstrate ongoing improvement in qualifications.....
- 2. Attend continuing education programs.....
- 3. Attend and participate in departmental meetings.....

4. OTHER ACTIVITIES

Self	1st Peer	2nd Peer	Chair

Signatures:

Self _____, Date _____

1st Peer _____, Date _____

2nd Peer _____, Date _____

Director _____, Date _____

Chairperson _____, Date _____

January, 1995

(see reverse side for space to list goals/objectives for next academic year)

Please list, as briefly as possible, four (4) goals/objectives you plan to accomplish during the next academic year.

1. _____

2. _____

3. _____

4. _____

POLICY FOR CONSULTING, SERVICE ACTIVITIES AND OTHER OUTSIDE WORK

A. Definitions

- 1. "Outside Activity" means work for any non-university entity, whether or not performed on the university campus.
- 2. "Outside Professional Activity" is outside activity of a nature requiring a special training, expertise and/or certification that qualifies the faculty member for a particular university appointment.

B. Conditions for Permission

- 1. Faculty may engage in outside professional consulting or service which:
 - a. does not interfere with the discharge of their teaching, research, service and administrative responsibilities to the university.
 - b. does not exceed the time limitation on outside commitments which shall not exceed an average of one day per seven day week for the term of the appointment.

C. Prior Approval Request (FORM 14)

Faculty to request approval in those instances in which the activity amounts to more than twelve days in any single university term.

D. Reporting Activities (FORM 15)

Faculty are to report each outside professional activity that is engaged in for more than three days in any single term of university appointment.

INTRAMURAL AND EXTRAMURAL PRACTICE ACTIVITIES MUST BE REPORTED.

E. Activities excluded from prior approval agreement

If/* they are not engaged in for more than three days in any single term.

- 1. Holding office in a scholarly or professional organization.
- 2. Editorial office or duties for a learned journal.

F. Activities excluded from prior approval and reporting requirements

- 1. Attendance at professional meetings
- 2. Writing of books or articles or the creation of works of art
- 3. Giving of occasional lectures and speeches, participation in colloquia, symposia, site visits, study sections and similar gatherings.
- 4. Ad-hoc refereeing of manuscripts.
- 5. Work supported by grant or contract funds awarded to the university.

University of Minnesota
School of Dentistry
Consultation Validation/Survey

Faculty and P & As, with approval of their supervisor, are allowed up to one day per week for consultation activities.

Do you have an Intramural Practice Agreement?

(please check) Yes _____
No _____

If yes, how many days per week do you devote to the Intramural Practice?

Do you participate in an Extramural Practice?

(please check) Yes _____
No _____

If yes, how many days per week do you devote to your Extramural Practice?

Do you have a recurring Consultation Agreement(s) (not including intramural or extramural practice) with corporate, private, government organization or other university units (e.g. 3M, Proctor and Gamble, N.I.H., Boynton Health Clinic, Group Health, Inc., etc.)?

(please check) Yes _____
No _____

If yes, how many days per year do you devote to this commitment? _____

Are you reimbursed?

(please check) No _____
Expenses Only _____
Expenses Plus Compensation _____
Compensation Only _____

Name _____

Status (please check one)

Date _____

Tenured Faculty _____

Division _____

Tenure Track Faculty _____

Professional/Academic _____

The information provided above is accurate.

(signature)

(date)

Department of Preventive Sciences

Faculty Compensation Policy

The general method of evaluation was approved by the Department faculty in 1989, shortly after Dr. Bandt assumed the Chair of the newly created Department.

The Departmental 7.12 Statement 1) serves as the overall basis for evaluation of merit for tenure, promotion, continuation or extension of appointments and for salary decisions. Performance in the three broad areas of teaching, scholarly activity and research and service is evaluated annually. Each year, all persons holding full-time faculty appointments in the Department submit a detailed annual report of their activities, a list of goals they wish to pursue in the coming year, and a self rating of their accomplishments and performance.

A summary checklist is provided which includes the major components of the three major areas to be evaluated. 2) The checklist allows for evaluations by peers, by the division director and by the department chair.

A rating of I, A, M or O is assigned to each performance category, wherein:

I = Inadequate	Does not meet assigned/expected standard
A = Adequate	Meets the assigned/expected standard
M = More than Adequate	Exceeds assigned/expected standard
O = Outstanding	Substantially exceeds assigned/expected standard.

The director of each division reviews the self and peer evaluations and provides his/her own assessment before meeting with the Chair. The performance of each individual is then discussed with consideration given to individual goals and how these relate to the goals and missions of the Division, Department and School, and a consensus is reached on each rating.

- Merit 3 - Outstanding in all three categories or in two categories for Clinical track.
- Merit 2 - Clearly exceeds standard in at least two of three categories of assigned work or Outstanding on one area with no Inadequate ratings.
- Merit 1 - Exceeds standard in one category with Adequate ratings in other areas.

Salary increases are then recommended to the Dean of the School in proportion to the contributions and accomplishments as rated on this merit scale. Following a conference with the Dean, a final decision is made with respect to each faculty member's salary increase. The Chair then meets with each faculty member to inform them of the salary adjustment, and to clarify goals for the coming year.

REGARDING AMOUNTS:

Adequate performance receives any cost of living increase (if included), but no merit.

- Merit 1 - No less than 75 percent of average percent allotment for merit
- Merit 2 - No less than 95 percent of average percent allotment for merit
- Merit 3 - No less than 105 percent of average percent allotment for merit

Remaining dollars are be used for those who may be in between categories above and/or to recognize unusually outstanding performance.

- Attachments**
- 1) Department Statement
 - 2) Faculty Evaluation Protocol

Legend: O = Outstanding
M = More Than Adequate
A = Adequate
I = Inadequate

Name:

**Faculty Evaluation Protocol
Responsibilities/Evaluation**

I. TEACHING

1. Program planning and development
2. Course development
3. Contributions to other programs (continuing education, outreach, other departments, etc.)
4. Quality of Instruction
5. Participation in departmental activities to the level assigned
6. Advising students

II. SCHOLARLY ACTIVITY AND RESEARCH

1. Refereed publications
2. Books/chapters/non-refereed publications
3. Scientific presentations
4. Grants/contracts submitted/funded

III. INSTITUTIONAL SERVICE

1. Departmental/school/university committee participation
2. Service connected administrative responsibilities
3. Community service

IV. PROFESSIONAL SERVICE

1. Professional organizations, offices, committees
2. Editorship/referee

V. PROFESSIONAL DEVELOPMENT

1. Ongoing improvement of qualifications
2. Attend meetings and continuing education courses

VI. OTHER

1. Awards/Honors

Self	Division Director	Department Chair

SIGNATURES:

Self _____ Date _____

Division Director _____ Date _____

Department Chair _____ Date _____

Department of Preventive Sciences
Summary of Faculty Goals and Objectives

Name

You may recall that the Preventive Sciences Administrative Committee recommended last year that the Goals and Objectives portion of the Annual Report should receive more emphasis now, and in the future. In that regard, you will find your goals for the past year as they were submitted with the annual reports for the calendar year 1998. Review and evaluate your progress toward achieving those goals. Note those which have been met, exceeded, changed, and not met. Review these with your Division Director. If there are goals/objectives not yet met, identify and summarize the reasons, insofar as that is possible.

1998

- 1.
- 2.
- 3.
- 4.

Summary of Progress of Previous Goals (Use reverse side of this sheet if more space is needed.)

Goals/Objectives For Calendar Year 1999

As you did last year, develop these with the input of your Director. They should be clearly stated with outcome(s) clearly identified. Whether new, or continuing goals, they should be consistent with your role/responsibility and with the mission(s) of the Division, Department, School and University where appropriate. Since review of goals and objectives is a part of the faculty evaluation process, it is important to identify those goals which should be considered for "meritorious performance." Use reverse side of this sheet if more space is needed.

1999

1.

2.

3.

4.

DEPARTMENT OF DIAGNOSTIC AND SURGICAL SCIENCES

Faculty Compensation Policy

The Faculty Compensation Policy of the Department of Diagnostic and Surgical Sciences is based on the Faculty Compensation Policy adopted by the University of Minnesota Faculty Senate on February 18, 1993 and recommendations from the faculty of the Department of Diagnostic and Surgical Sciences. This policy applies to the full-time Faculty (94xx), Academic Professional (97xx), and Academic Administrative (93xx) staff of the Department of Diagnostic and Surgical Sciences.

I. Criteria for Faculty Performance Evaluation and Salary Adjustment

Faculty performance evaluation is based on the general criteria of the tenure and promotion regulations of the University and the Diagnostic and Surgical Sciences Departmental Statement. Salary adjustments will be in compliance with the annual President's and collegiate memoranda regulating budget principles, salary bases for faculty, and faculty salary increases.

The following criteria and guidelines are considered in determining faculty salary adjustments in the Department of Diagnostic and Surgical Sciences.

A. Teaching

1. Teaching elements of high importance
 - a. Number of different courses taught
 - b. Development of new courses
 - c. Student evaluations of courses
 - d. Peer evaluation of teaching
 - e. Supervision of graduate students
2. Teaching elements of medium importance
 - a. Teaching of advanced level courses
 - b. Faculty availability to students
 - c. Independent reading courses
 - d. Development, supervision of field experiences
 - e. Development of comprehensive exams
 - f. Dissertation load
 - g. Performance of students on national exams
 - h. Innovative approaches to teaching
 - i. Support of colleague and grad student teaching
 - j. Ability to attract, recruit students to a program
 - k. Number of advisees
3. Teaching elements of low importance
 - a. Career placement of dental students, grad students

B. Scholarship

1. Scholarship elements of high importance
 - a. Publication of article, original book, book chapter, or monograph
 - b. Presentation at national meeting
 - c. Serve as journal editor
 - d. Obtain grant funding: major, minor, center grant
 - e. Success of student research as measured by publication, awards
 - f. Special competitive fellowship demonstrating outside recognition

2. Scholarship elements of medium importance
 - a. Publish new book edition
 - b. Conduct book review
 - c. Develop audio-visual materials
 - d. Presentation at local/regional meetings
 - e. Manuscripts submitted
 - f. Present seminar for colleagues
 - g. Serve as journal referee
 - h. Grant proposal submitted
 - i. Invited seminars for honorarium/travel expenses
 - j. Consultant activities as indication of professional recognition
 - k. Participation in professional development activities
 - l. Summer research mentor

3. Scholarship elements of low importance
 - a. Publication in popular press
 - b. Sabbatical leave

C. Service

1. Service elements of high importance
 - a. Leadership in professional organizations
 - b. Administering academic programs
 - c. Pride in facility (care of equipment, etc.)
 - d. Attendance at council meetings
 - e. Special service to University, i.e., awards, Senate president, fundraising; special patient care clinic services, consults, etc.
 - f. Committee assignments/contributions
 - g. Appointment as board examiner
 - h. Appointment as site visitor for accreditation purposes
 - i. Willingness to serve, meet special requests

2. Service elements of medium importance
 - a. Cooperation with other departments, ad hoc groups
 - b. Hosting conferences
 - c. Sponsoring student groups
 - d. Service to "community at large," represent the University
 - e. Speaking engagements for School of Dentistry functions

- f. Involvement in special events, receptions
 - g. Workshops conducted
 - 3. Service elements of low importance
 - a. Membership in professional organizations
 - b. Initiating suggestions for departmental operations
- D. Goals and objectives
 - 1. Difficulty of reaching the goal
 - 2. Progress on the goals and/or objectives
- E. Awards or honors received
- F. Faculty effort based on actual FTE as defined by the School of Dentistry faculty allocation formula.

II. Procedures for Determining Faculty Review and Salary Adjustment

The procedure for determining salary adjustments in the Department of Diagnostic and Surgical Sciences is as follows:

- A. In January, divisions have meetings to determine goals and objectives for the coming year for the divisions and individual faculty members. Individual faculty members choose a level of effort to equal 100%, distributed between teaching, research and service. Specific goals within the three categories are defined.
- B. By January 1 of the following year, updated CVs and accomplishments for the year are collected in a standard format for all faculty members.
- C. In January, all faculty members rate themselves on a scale of 1 - 5 for the three areas of teaching, research, and service. These scores are equivalent to 10% weight of their review. Next, the department committee is convened. This committee is made up of the division directors. Each faculty member is evaluated by this committee and also ranked by secret ballot by the division directors. The division directors are also ranked by the others at this meeting. Scores are compiled by the department. These scores are valued at 50% weight.
- D. In January, the department chair reviews the data and meets with each faculty member to evaluate the faculty member's performance. During this meeting, the chair and faculty member review their goals for the past year and the coming year. Faculty effort is also reviewed at this meeting. The department chair then ranks the faculty member. This score has a 40% weight of the total.
- E. On the basis of input from steps A - D, the faculty salaries are calculated by the formula described below.

III. Calculation of Faculty Salary Compensation

The formula by which available funds will be divided is:

- 50% allocated on the basis of a flat dollar merit amount;
- 50% allocated as a "percent of base" merit allocation.

Faculty performance is evaluated using a five-point scale and the elements of teaching, scholarship and service. An Individual Composite Rating (ICR) score is calculated, using the percent of effort directed toward teaching, scholarship and service, as well as the weight factor assigned each evaluator.

Computation of Flat Dollar Merit Allocation

An ICR unit value is computed by dividing half the salary pool by the total ICR score for the department. This ICR unit value is then multiplied by each faculty member's ICR score to give the flat dollar merit amount.

Computation of Percent of Base Merit Allocation

Each individual faculty member's percentage of the average salary in the department is calculated. This produces a base percent factor.

The base percent factor for each faculty member is multiplied by the faculty member's ICR score, and this results in an "Adjusted Composite Rating," or ACR. The Adjusted Composite Ratings for all faculty members in the department are added together to give the department composite rating, which is divided into the half of the salary pool allocated for this purpose, and yields the Adjusted Composite Rating Unit Value.

The ACR Unit Value is multiplied by each faculty member's Adjusted Composite Rating, and this produces the percent of base merit allocation.

The Flat Dollar Merit Allocation and the Percent of Base Merit Allocation are combined to give the TOTAL merit allocation.

**Department of Diagnostic and Surgical Sciences
Faculty Merit Plan Outline**

- I. All full-time (67%+) tenured and tenure-track faculty, as well as temporary ("T") appointees and P and A staff, will participate in the evaluation process. Appointment dates will be considered in the course of the evaluation, should there be less than one year of employment. The purpose of the evaluation will be:
 - A. Formative, to improve instructional skills; and
 - B. Summative, to form the basis for employment decisions such as promotion or dismissal.
- II. Formative evaluation requires an instrument that yields descriptive information that points out areas in which a teacher needs to acquire new skills or improve skills.
- III. Summative evaluation requires strategies that yield objective, standardized externally defensible information.
- IV. Evaluation criteria should relate to evaluatee's actual job.
- V. Evaluatee's "job" is determined by:
 - A. Evaluatee
 - B. Division Director
 - C. Departmental committee
 - D. Department chair
- VI. Flexibility of criteria.
 - A. Each faculty member consults with his/her division to determine what emphasis will be given to each criterion, i.e., teaching, research, and service, in a given year.
 - B. Each criterion will be assigned a percentage weight which both the faculty member and division agree is appropriate.
 - C. Percentage weights may vary between faculty members and from year to year for the same faculty member.
 - D. Faculty members will be allowed to change emphasis from year to year within the guidelines.
 - E. Faculty members must understand which elements are deemed of high, medium, and low significance for evaluating each criterion. Elements can vary from division to division, but must be applied equally within a division.

F. Both what the faculty member has accomplished over the years and what good work has been accomplished recently will be taken into consideration. Newer faculty should be able to get big raises by dint of effort and accomplishment. They should be rewarded for good work, rewarded promptly and well. Veteran faculty who continue to perform well should continue to get good raises. But no one should receive high raises whose recent efforts and performance have diminished.

VII. The rating scale will be a conventional 5 point scale:

- 1 = Not meeting performance expectations
- 2 = Needs improvement in meeting performance expectations
- 3 = Meeting performance expectations
- 4 = Above performance expectations
- 5 = Well above performance expectations

VIII. The evaluators will be:

- | | | |
|----|----------------------|---------------------|
| A. | Self | 10% assigned weight |
| B. | Department committee | 50% assigned weight |
| C. | Department chair | 40% assigned weight |

IX. An Individual Composite Rating (ICR) will be calculated based on the ratings given the faculty member by the evaluators. Please refer to the examples of this which were distributed to the faculty previously.

X. Proposed Dollar Merit Increases

The total amount of funds available to the department will be divided in half.

- 50% will be allocated on the basis of a flat dollar amount;
- 50% will be allocated as a percentage of each faculty member's base salary.

XI. Faculty workload considerations

- Duty assignments
- Overload assignments
- Self-selected assignments
- Distinction will be made between what is useful to the University/Department/Division, what is useful to the individual, and what is useful to all.
- There is no known relationship between effectiveness and time invested.

- A symbolic work week of 40 hours will be adopted, avoiding self-serving evaluations. The University does not have a right to more time.

XII. The Procedure

- A. The faculty member will meet with the division director to delineate the criteria, goals, and percentage of effort on which the faculty will focus in the upcoming year, taking into consideration the division's needs and the faculty status (probationary/tenured). Goals will be set on the calendar year. *Agreement must be reached.* This information will be documented on the Faculty Goals and Percentage of Effort Plan form, copies of which are maintained by the faculty, the division, and the department chair. The division director will provide for the faculty member the Elements For Measuring Performance (with significance rated as high-medium-low), which will serve as the basis for evaluation.
- B. The department committee shall be comprised of the directors of each of the divisions within the department. There shall be one representing director from each division. Proposed criteria, goals, and percentages of effort will be reviewed and approved by the departmental committee with input from the department chair.
- C. The faculty member must provide documentation of achievements and goals met during the year. A curriculum vitae for the period January 1 to December 31 must be included. Faculty CVs should be standardized to aid in the evaluation process. Therefore, the "John Doe" CV currently used for promotion and tenure will be distributed to faculty, for use as a model. CVs also must be dated, and it is critical that they be submitted on time and only once per year. The CV will serve as a continuum, as the history of activities is important. However, activities for the year being evaluated should be presented in bold type so as to be easily differentiated.
- D. With the faculty documentation and the following:
- Elements list
 - Five-point scale
 - Goals/Effort Plan
 - School of Dentistry Standards of Faculty Effort
 - Curriculum vitae (dates Jan. 1 to Dec. 31)

the faculty member's performance will be rated by the following (in order), and an ICR score calculated on the Individual Composite Rating Worksheet:

- | | | |
|----|------------------------|-------------------|
| 1. | self | 10% weight factor |
| 2. | departmental committee | 50% weight factor |
| 3. | department chair | 40% weight factor |

Departmental committee members will rate the individual faculty members via score sheets and secret ballot, and the scores will be averaged.

- E. Department committee members will be evaluated by the remaining members of the committee. (They will simply leave the room when their activities are being discussed.)
- F. The formula by which available funds will be divided is:
- 50% allocated on the basis of a flat dollar amount;
 - 50% allocated as a "percent of base" merit allocation.
- G. The department chair will meet individually with each faculty member and convey the evaluation results and merit increase recommendations calculated.

Att: Faculty Goals and Percentage of Effort Plan

Elements for Measuring Effective Teaching

ICR Worksheet

School of Dentistry Principles for Allocating Faculty Time

Promotion and Tenure Regulations

Checklist for Essential Elements for Granting Promotion to Professor from Associate Professor

Checklist of Criteria by Which the Department of Diagnostic and Surgical Sciences Will Support Tenure

Diagnostic and Surgical Sciences
Faculty Goals and Percentage of Effort Plan
January 1, 1995- December 31, 1995

Faculty _____ Prob / Ten Promo date _____

Teaching Goals _____ %

Research Goals _____ %

Service Goals _____ %

School of Dentistry Faculty Allocation Standards Allowance:

Approved:

Faculty	date	Division Director	date
For the Committee	date	Department Chair	date

Department of Diagnostic and Surgical Sciences

Individual Composite Rating Worksheet

Evaluators

Name:	Evaluators			Total Composite Rating	x	Individual Criteria Weights	=	Category Composite Rating
	Self	Department Committee	Department Chair					
Source Weight	10%	50%	40%					
Teaching								
Source Rating (5 pt scale)								
Composite Rating	x 10% =	x 50% =	x 40% =		x	% effort		
Scholarship								
Source Rating (5 pt scale)								
Composite Rating	x 10% =	x 50% =	x 40% =		x	% effort		
Service								
Source Rating (5 pt scale)								
Composite Rating	x 10% =	x 50% =	x 40% =		x	% effort		
Individual Composite Rating =								

**UNIVERSITY OF MINNESOTA SCHOOL OF DENTISTRY
PRINCIPLES FOR ALLOCATING FACULTY TIME**

	Time
I. Clinic Teaching	
Tenured Faculty	0.60
Tenure Track Faculty	0.40
Clinical Dental Specialists	0.80
Part-Time Faculty	As Assigned
Teaching Assistants	0.20
Teaching Assistants/Dental Fellows - Orthodontics, TMJ, & Geriatric Dentistry	0.00
Residents - GPR & AGD	0.00
II. Administrative Time	
Dean	1.00
SubDean	0.80
Department Chair	0.80
Division Director	0.20
Division Director, Dental Hygiene	0.40
Graduate Program Director, School of Dentistry	0.20
Graduate Program Director	0.20
Comprehensive Dental Clinic Coordinator (Faculty/Clinic Specialist)	0.20
Administrative P&A	1.00
Full-Time Faculty Not Otherwise Assigned Administrative Effort (Compensating for Committee Time)	0.05
(6) Departments/Programs for Clinical/ Didactic Responsibilities* (Not Otherwise Accounted Through Division/Graduate Directors)	0.10
III. Research & Scholarship	
Tenure Track Faculty (Minimum Allocation)	0.40
Tenured Faculty (Excluding Chairpersons)	0.10
IV. Service (Departmental)	
Diagnostic & Surgical Sciences, Preventive Sciences, & Restorative Sciences	0.50
Oral Sciences	1.50
Biostatistical Consulting @ .50	
Pathology & Genetics Counseling/Consulting @ .50	
Biologic Research Support @ .50	
V. Consulting	
Not to Exceed	0.20
(Allocated on a Case-by-Case Basis with Commitment Identified on Form 14)	

-
- Hours available annually: 1,900/yr (2,088 less 22 days vacation)
 - Lecture/Seminars: Four (4) hours for each hour of lecture/seminar
 - Clinic Teaching: Four (4) hours for each clinic session (1 clinic session = .10 FTE)
 - Hygiene, Fixed Pros, Operative, Oral Anatomy, Radiology, Oral Surg, Remov Pros, Ped Dent, & Perio
- By: SOD Executive Committee 4/26/90. Amended 5/7/90

Oral Medicine, Diagnosis, and Radiology Elements for Measuring Effective Teaching

Element	High	Med	Low	Score
Number of different courses taught	x			
Advanced level courses		x		
Development of new courses	x			
Number of advisees			x	
Work with foreign and special needs students			x	
Student evaluations of courses: formal instrument	x			
Peer evaluation of teaching:	x			
• review and analysis of syllabus, books used		x		
Outside classroom activities:				
• availability to students		x		
• independent reading courses		x		
• development of field experiences	x			
• supervision of internships, field experiences		x		
• develop comprehensive exams		x		
• dissertation load		x		
Innovative approaches to teaching		x		
Support of colleague teaching, work with grad students on teaching			x	
Career placement of students, grad school placement of students			x	
Ability to attract students to a program, recruitment			x	

Oral Medicine, Diagnosis, and Radiology Elements for Measuring Scholarship

Element	High	Med	Low	Score
Publication in field of research interest (includes those in press):				
• article	x			
• original book	x			
• edited book		x		
• chapter of book or monograph	x			
• book review		x		
• audio-visual materials		x		
• manuscripts submitted (not yet accepted, not published)			x	
Publication in popular press - magazines, op-ed piece			x	
Presentation at meetings:				
• national	x			
• regional or local		x		
Seminar for colleagues		x		
Editorial board service/referee		x		
Editor of a journal	x			
Grant proposal for research or academic/training program:				
• submitted		x		
• funded (minor-\$10M or less)	x			
• funded (major-more than \$10M)	x			
• unusually large grant, development of new center	x			

Element	High	Med	Low	Score
Invited seminars for honorarium and/or travel reimbursement		x		
Consultant activities as indication of professional recognition		x		
Professional development activities:		x		
• participation in faculty development activity		x		
• courses taken		x		
Success of supervised student research:				
• presented at meetings		x		
• published	x			
• dissertation awards	x			
National award	x			
Special competitive fellowship demonstrating outside recognition	x			
Participation in university professional development activity:				
• quarter leave competition			x	
• summer research grant		x		
• sabbatical		x		

**Oral Medicine, Diagnosis, and Radiology
Elements for Measuring Service**

Element	High	Med	Low	Score
Number of committee assignments (attendance and contributions assumed)		x		
Cooperation with other departments, ad hoc groups		x		
Membership in professional organizations			x	
Leadership in professional organizations	x			
Hosting conferences		x		
Sponsoring student groups		x		
Administering academic programs (Division Directors and others as appropriate)	x			
Initiating suggestions for departmental operations			x	
Pride in facility (care of radiology equipment, maintenance, housekeeping)	x			
Willingness to serve, meet special requests		x		
Availability to colleagues:				
• attendance at council meetings	x			
Service to "community at large," represent the university		x		
Speaking engagements for School of Dentistry: admissions, alumni, orientation, etc.		x		
Involvement in special events, receptions		x		
Workshops conducted		x		
Special service to university, i.e., award, Senate president, fundraising; special patient care clinic services, consults, etc.	x			

**Oral/Maxillofacial Surgery
Elements for Measuring Effective Teaching**

Element	High	Med	Low	Score
Number of different courses taught		X		
Development of new courses	X			
Number of advisees		X		
Work with foreign or special needs students			X	
Student evaluations of courses: formal instrument	X			
Peer evaluation of teaching	X			
Review and analysis of syllabus, books used			X	
Outside classroom activities: availability to students		X		
Independent reading courses			X	
Supervision of graduate students	X			
Develop comprehensive exams			X	
Dissertation load			X	
Performance of students on nationwide exams		X		
Innovative approaches to teaching		X		
Support of colleague teaching, work with grad students on teaching		X		
Ability to attract students to a program, recruitment		X		

**Oral/Maxillofacial Surgery
Elements for Measuring Scholarship**

Element	High	Med	Low	Score
Publication in field of research interest (includes those in press):				
article	X			
original book	X			
edited book	X			
chapter of book or monograph	X			
book review		X		
audio-visual materials			X	
Publication in popular press - magazines, op-ed piece			X	
Presentation at meetings:				
national	X			
regional or local		X		
Manuscripts submitted (not yet accepted, not published)		X		
seminar for colleagues		X		
editorial board service/referee		X		
editor of a journal	X			
Grant proposals for research, academic or training program:				
submitted		X		
funded (minor-\$10M or less)	X			
funded (major-more than \$10M)	X			
Invited seminars for honorarium and/or travel reimbursement		X		

Element	High	Med	Low	Score
Consultant activities as indication of professional recognition		X		
Professional development activities:		X		
• participation in faculty development activity		X		
• courses taken		X		
Success of supervised student research:		X		
• presented at meetings		X		
• published	X			
• dissertation awards		X		
National award	X			
Unusually large grant, development of new center	X			
Special competitive fellowship demonstrating outside recognition	X			
Participation in university professional development activity:				
• quarter leave competition			X	
• summer research grant		X		
• sabbatical			X	

Oral/Maxillofacial Surgery Elements for Measuring Service

Element	High	Med	Low	Score
Number of committee assignments: attendance and contributions assumed	X			
Cooperation with other departments, ad hoc groups		X		
Membership in professional organizations			X	
Leadership in professional organizations	X			
Hosting conferences		X		
Sponsoring student groups		X		
Administering academic programs (Division Directors and others as appropriate)		X		
Initiating suggestions for departmental operations			X	
Pride in facility (care of equipment, maintenance, housekeeping)			X	
Willingness to serve, meet special requests		X		
Availability to colleagues:				
• attendance at council meetings		X		
Service to "community at large," represent the university		X		
Speaking engagements for School of Dentistry: admissions, alumni, orientation, etc.		X		
Involvement in special events, receptions			X	
Special service to university, i.e., award, Senate president, fundraising; special patient care clinic services, consults, etc.			X	
Appointment as Board Examiner	X			
Appointment to national professional committees	X			
Appointment as site visitor for accreditation purposes	X			

**Orthodontics and TMJ
Elements for Measuring Effective Teaching**

Element	High	Med	Low	Score
Number of different courses taught		x		
Development of new courses	x			
Number of advisees		x		
Work with foreign or special needs students			x	
Student evaluations of courses: formal instrument	x			
Peer evaluation of teaching	x			
• review and analysis of syllabus, books used			x	
Outside classroom activities:				
• availability to students			x	
• independent reading courses			x	
• supervision of graduate students	x			
• develop comprehensive exams		x		
• dissertation load		x		
Performance of students on nationwide exams			x	
Innovative approaches to teaching		x		
Support of colleague teaching, work with grad students on teaching		x		
Ability to attract students to a program, recruitment		x		

**Orthodontics and TMJ
Elements for Measuring Scholarship**

Element	High	Med	Low	Score
Publication in field of research interest (includes those in press):				
• article	x			
• original book	x			
• edited book		x		
• chapter of book or monograph		x		
• book review			x	
• audio-visual materials			x	
• manuscripts submitted (not yet accepted, not published)			x	
Publication in popular press - magazines, op-ed piece			x	
Presentation at meetings:				
• national	x			
• regional or local			x	
Seminar for colleagues		x		
Editorial board service/referee		x		
Editor of a journal	x			
Grant proposal for research or academic/training program:				
• submitted		x		
• funded (minor-\$10M or less)	x			
• funded (major-more than \$10M)	x			
• unusually large grant, development of new center	x			
Invited seminars for honorarium and/or travel reimbursement		x		

Element	High	Med	Low	Score
Consultant activities as indication of professional recognition		x		
Professional development activities:				
• participation in faculty development activity		x		
• courses taken			x	
Success of supervised student research:				
• presented at meetings		x		
• published	x			
• dissertation awards	x			
National award	x			
Special competitive fellowship demonstrating outside recognition	x			
Participation in university professional development activity:				
• quarter leave competition			x	
• summer research grant		x		
• sabbatical			x	

Orthodontics and TMJ Elements for Measuring Service

Element	High	Med	Low	Score
Number of committee assignments (attendance and contributions assumed)		x		
Cooperation with other departments, ad hoc groups			x	
Membership in professional organizations			x	
Leadership in professional organizations	x			
Hosting conferences		x		
Sponsoring student groups			x	
Administering academic programs (Division Directors and others as appropriate)	x			
Initiating suggestions for departmental operations			x	
Pride in facility (care of equipment, maintenance, housekeeping)			x	
Willingness to serve, meet special requests	x			
Availability to colleagues:				
• attendance at council meetings		x		
Service to "community at large," represent the university		x		
Speaking engagements for School of Dentistry: admissions, alumni, orientation, etc.		x		
Involvement in special events, receptions			x	
Special service to university, i.e., award, Senate president, fundraising; special patient care clinic services, consults, etc.	x			

5 point rating scale

1 = Not meeting performance expectations

2 = Needs improvement in meeting performance expectations

3 = Meeting performance expectations

4 = Above performance expectations

5 = Well above performance expectations



UNIVERSITY OF MINNESOTA
TWIN CITIES

School of Dentistry
Malcolm Moos Health Sciences Tower
515 Delaware Street S.E.
Minneapolis, Minnesota 55455

March 3, 1987

TO: Department Chairpersons and Program Directors
FROM: Dr. Richard Elzay, Dean
RE: Guidelines for Merit Evaluation

The ballots on Merit Evaluation were due 25 February. Out of 102 full-time faculty members eligible to vote we received 80 votes. Of this number, 84% indicated "yes". Please be advised that merit evaluation guidelines have been approved.

Herewith please find a clean copy of the merit guidelines. Please share the outcome of the vote and the guidelines with your faculty.

I realize there are some concerns regarding the present guidelines for merit evaluation; however, they are not written in stone and we can address those issues and improve on this document as we gain experience.

Thank you.

Enclosure
:bjm

UNIVERSITY OF MINNESOTA
SCHOOL OF DENTISTRY

Guidelines for Merit Evaluation

INTRODUCTION:

Merit salary increases provide the opportunity to recognize and reward the contributions of departments and faculty members whose performance has been judged above average or exceptional. Merit increment awards are in addition to any across-the-board cost-of-living increases which may be granted.

The following guidelines have been developed to provide a basis by which merit increment funds may be distributed. The system recognizes exceptional departmental contributions and faculty performance. In the instance of faculty, the three tiered system is intended to ensure that any member who performs to the level expected will be rewarded. Those who perform above expectations and significantly above expectations should be rewarded commensurately with their performance.

I. DEPARTMENTAL EVALUATION

It is conceivable that a department collectively might be highly productive or make extensive contributions to the School or other departments during a year, whereas another might contribute very little. It is not reasonable or fair that both departments be awarded merit funds based strictly on percentage of current salaries. Rather, supplemental funds should be available so that members of the productive department can compete intradepartmentally for a higher total percentage. In addition to funds for chairs, program areas and promotions*, the dean should retain a reasonable percentage of the merit funds awarded to the School of Dentistry for this purpose. In the event that no

department is significantly distinguished, in a particular year, these funds should revert to the departments for normal distribution/or to the dean for the purpose of rewarding, with the consent of the respective chairpersons, individual faculty.

Example: If the university provides 10% salary increment, the dean might retain 0.5% of the total to form a pool to make additional funds available to productive departments. Thus these departments may be awarded more than the remaining 9.5%.*

II. FACULTY EVALUATION

A. Level One: Performance at level of Adequate/Inadequate

Performance of expected activities, at the level of adequate, will result in a Level One merit increase. Fifty percent* of the available merit increase funds will be assigned to this level.

Example: If the university provides 10% salary increment and 3% is designated for cost-of-living raises, one-half of the remaining 7% will fall into this category. Thus a faculty member who faithfully performs to the level expected, but is otherwise undistinguished, could expect a raise of 6.5%.*

B. Level Two: Performance at level of More Than Adequate to Outstanding

A merit increase may be awarded on the basis of a record of performance significantly above the expected level. Fifty percent* of the merit increase funds will be assigned to this level, which will become a pool from which the departmental chairperson can draw to reward persons who have performed above the level expected.

Example: If after awarding cost-of-living and Level I increases a department with five faculty members has \$5000 available for Level II increases, the chairperson may recommend distribution

of these funds in direct proportion to the contribution of each person. Some faculty may receive no Level II increases whereas others may receive \$500, \$1000, \$3000, etc. The total at this level must not exceed the amount of Level II funds available.*

Evaluation:

It is important that faculty members be evaluated using basically the same criteria which in turn are consistent with Promotion and Tenure standards. However, the weight which is placed on the criteria will differ and thus will best be determined intradepartmentally. Departmental faculty and the chairperson should determine in advance the weighting of each criterion. Likewise, predetermination should be made concerning the method for notation. Some departments may prefer a highly specific numerical system whereas others may prefer a narrative method. This system provides sufficient flexibility that individual preferences can be incorporated without jeopardizing the objectivity of the evaluation.

Evaluation Protocol:

The following evaluation instrument should be considered as demonstrating the level of contributions to the School of Dentistry and the University. A merit increase may be awarded on the basis of performance concerning these activities. It will be the responsibility of the departmental chairperson and the faculty member to develop the appropriate data for Level I and II increases. This outline should be used as a guide by both the evaluator and evaluatee. Data from any of the judges may be used by either party as appropriate. The evaluation process should be completed in such a manner that it offers the faculty an opportunity to improve/enhance their performance and maximize their contribution to the dental school and the University.

EVALUATION PROTOCOL

- Legend:
- O = Outstanding
 - M = More Than Adequate
 - A = Adequate
 - I = Inadequate

Potential Judges

1. TEACHING/CLINICAL

	Potential Judges				
	Students	Peers	Self	Chair	Other

- 1. Program planning.....
- 2. Course development.....
- 3. Contributions to other areas.....
- 4. Quality of instruction.....
- 5. Unique clinical accomplishments or abilities.....
- 6. Participation in departmental activities to the level assigned.....
- 7. Advising students.....
- 8. Updating offerings.....

2. RESEARCH/CREATIVE

- 1. Books/Chapters.....
- 2. Articles.....
- 3. Scientific presentations.....
- 4. Grants.....
- 5. Peer recognition at departmental/local/national levels.....

3. INSTITUTIONAL SERVICE

- 1. Exceptional service on departmental/school/university committees.....
- 2. Unique administrative responsibilities.....
- 3. Participation in administrative activities to the level assigned.....
- 4. Service on departmental/school/university committees.....
- 5. Participation in professional organizations.....
- 6. Contributions to continuing education/outreach programs.....
- 7. Community service.....
- 8. Effective utilization of time.....

4. PROFESSIONAL SERVICE

- 1. Offices.....
- 2. Editorship/referee.....

5. PROFESSIONAL DEVELOPMENT

- 1. Significant improvement of qualifications.....
- 2. Attending meetings and continuing education courses.....
- 3. Keeping abreast of field.....

6. OTHER

- 1. Awards/Honors

--	--	--	--	--	--

This form should be used as a guide in the evaluation of faculty members contributions. The specific procedure for notation is optional and is expected to vary among departments. Areas for which the criteria are not applicable should be so indicated.

C. Level Three: Exceptional performance:

During a particular year, a limited number of faculty members may be exceptionally productive. It is reasonable that these persons be rewarded more substantially, but it is not reasonable that the funds come at the expense of other faculty who may have had a productive, albeit less banner year. The dean should set aside certain funds each year from an appropriate source which will enable these "superstars" to be recognized. This supplementation, if awarded, should be in the form of a bonus rather than an on-going increase in base salary.

* Percentages noted are expressed for internal guidelines in distributing merit funds. Actual percentages for the respective Levels will be determined annually by the Council on Administration and will depend upon the percent of salary increment provided by the University as well as consideration of specific designations recommended by the University.

Approved by vote of the Council of Faculty
25 February, 1987

:bjm