

UNIVERSITY OF MINNESOTA  
MEDICAL SCHOOL

DEPARTMENT OF OTOLARYNGOLOGY

7.12 STATEMENT

Statements Required By Section 7.12 of the Board of Regents Policy: *Faculty Tenure*

**PART 1. MEDICAL SCHOOL PREAMBLE**

**I. INTRODUCTORY STATEMENT**

This document describes the specific criteria and standards which will be used to evaluate whether candidates from the Medical School meet the general criteria for tenure in Section 7.11 and for promotion to professor in Section 9.2 of the Board of Regents Policy: *Faculty Tenure*. All candidates for promotion and/or tenure in the Medical School are evaluated with the criteria and standards in this preamble. In addition, each department in the Medical School has its own 7.12 Statement (Part II of this document) that further delineates the criteria for promotion and/or tenure within that individual unit. For a complete perspective, the reader is advised to review Sections 7 and 9 in their entirety. Section 7.11 is printed in IV: Criteria for Tenure (see below); Section 9.2 is printed in V.C Promotion to Professor. This preamble contains Criteria and Standards pertaining to:

- A. Appointment
- B. Awarding of indefinite tenure
- C. Promotion from Assistant Professor to Associate Professor and from Associate Professor to Professor
- D. The process for the annual appraisal of probationary and tenured faculty

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

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.

The Medical School 7.12 and Departmental 7.12 Statements are reviewed and approved by the dean of the Medical School and the senior vice president for academic affairs and provost.

The relevant University documents regarding criteria for tenure and/or promotion and the procedures for implementing these criteria are:

- University of Minnesota Board of Regents Policy: *Faculty Tenure*
- *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure Track and Tenured Faculty*

**II. MISSION STATEMENT**

Committed to innovation and diversity, the Medical School educates physicians, scientists, and health professionals; generates knowledge and treatments; and cares for patients and communities with compassion and respect.

The Medical School strongly encourages and values interdisciplinary work, including scholarship, public engagement, and teaching, as well as interprofessional collaboration in clinical sciences. Concordant with the position of the National Institutes of Health, the Medical School values Co-Principal Investigators and interdisciplinary collaboration on major funding proposals as well.

### III. APPOINTMENT AND ANNUAL APPRAISALS OF PROBATIONARY FACULTY

#### A. APPOINTMENT

##### 1. Assistant Professor

In the Medical School the entry level rank for faculty is at the Assistant Professor level. The minimal, general criteria for initial appointment at this rank include:

- a. Possession of a terminal degree (MD or equivalent, or Ph.D.)
- b. Board eligibility or certification (if applicable - clinical specialties)
- c. Demonstrated ability in teaching
- d. Demonstrated involvement in high-quality research which has been accepted for publication or is published in peer-reviewed national or international journals
- e. Documentation of competence in the skills of communication, including effective communication in teaching students and in oral and written presentations of research

Each department may add specialty-specific criteria for appointment, in their Departmental 7.12 Statement.

##### 2. Associate Professor and Professor

- a. The criteria and standards for appointment at the rank of Associate Professor are those stated for awarding of tenure.
- b. The criteria and standards for appointment at the rank of Professor are those stated for promotion to this rank.

In addition, for clinically active faculty, it is expected that for appointment at the rank of Associate Professor or Professor they will have achieved appropriate Board Certification in the specific field where they are practicing.

##### 3. Secondary Appointments

The appointment home for a faculty member is always in the primary department (the tenure home is the University of Minnesota). Joint and/or secondary appointment requests will be made by the secondary department with the support of the primary department in the form of a request letter(s) signed by both department heads, addressed to the Associate Dean for Faculty Affairs in the Medical School. In the case that the appointment being requested is at the Associate Professor or Professor level, the secondary department may conduct a faculty vote by written ballot, based on the proposed collaborative activity in the secondary department for the faculty member. The results of the vote should be reported at the time of the request for appointment.

#### B. ANNUAL APPRAISALS OF PROBATIONARY FACULTY

In fulfillment of Sections 7.11 and 7.12 and in accord with Section 7.2 of the Board of Regents Policy: *Faculty Tenure*; “the tenured faculty of each academic unit annually reviews the progress of each probationary faculty member toward satisfaction of the criteria for receiving tenure. The head of the unit prepares a written summary of that

*review and discusses the candidate's progress with the candidate, giving a copy of the report to the candidate."*

All tenure-track faculty will undergo an annual review each academic year. An academic year is defined in Section 5.3 in the Board of Regents Policy: *Faculty Tenure*. Annual appraisals in the Medical School and its departments comply with the procedures described in *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty*. Each department will outline the specific process and criteria for annual appraisals, but at the very least will include a review by the tenured faculty of the department and an annual conference with the Department Head. These procedures are provided for by Sections 16.3, 7.4, and 7.61 of the Board of Regents Policy: *Faculty Tenure*.

The annual review of probationary faculty will be recorded on the *University of Minnesota (UM) Form 12* and will reflect the faculty member's performance relative to the 7.12 Statement. A record of the vote by the tenured faculty for continuation or recommendation for promotion and/or tenure will be included on the *UM Form 12*, if a vote was taken. (This vote on annual reviews is optional). Each department will determine, and so state in their departmental 7.12 Statement, whether or not such a vote will be taken. If such an annual vote is taken in any department, a 2/3 majority of eligible voting faculty is required for continuation of the probationary appointment. A motion for termination also requires a 2/3 majority of eligible voting faculty for action to be taken. A record of the vote, either for continuation or termination, must be included on the *UM Form 12*. If a faculty member has extended his or her probationary period according to Section 5.5 of the Board of Regents Policy: *Faculty Tenure*, this must be noted on the *UM Form 12* during the annual review.

The department head will meet annually with each probationary faculty member to review his/her completed *UM Form 12*. The department head and faculty member will sign the completed *President's Form 12*. The *UM Form 12* is forwarded to the dean for review, comment, and signoff.

The *UM Form 12* is then forwarded to the senior vice president for academic affairs and provost (SVPP) for review, comment, and signoff. A copy is kept in the SVPP Office. The signed *UM Form 12* will be kept in the probationary faculty member's tenure file and will become a part of the dossier.

For faculty members with joint and/or secondary appointments in another Medical School or University Department, annual reviews will be carried out according to the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty*. For a candidate who has an appointment in more than one unit, the candidate's offer letter will specify how the candidate will be evaluated annually and at the time of the tenure and/or promotion decision, including which unit's 7.12 statement will be used as the basis for evaluation and which unit's votes of tenured faculty will be counted or reported for the second level of review in the Medical School. The primary unit will receive input from the secondary unit on performance of responsibilities specific to that unit prior to each annual review and decision on promotion and tenure.

#### IV. CRITERIA FOR TENURE

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

**7.11 General Criteria.** *What the University of Minnesota seeks above all in its faculty members is intellectual distinction and academic integrity. The basis for awarding indefinite tenure to the candidates possessing these qualities is the determination that each has established and is likely to continue to develop a distinguished record of academic achievement that is the foundation for a national or international reputation or both [FN 2]. This determination is reached through a qualitative evaluation of the candidate's record of scholarly research or other creative work, teaching, and service [FN 3]. The relative importance of these criteria may vary in different academic units, but each of the criteria must be considered in every decision [FN 4]. Demonstrated scholarly or other creative achievement and teaching effectiveness must be given primary emphasis; service alone cannot qualify the candidate for tenure. Interdisciplinary work, public engagement, international activities and initiatives, attention to questions of diversity, technology transfer, and other special kinds of professional activity by the candidate should be considered when applicable. The awarding of indefinite tenure presupposes that the candidate's record shows strong promise of his or her achieving promotion to professor.*

*[FN 2] "Academic achievement" includes teaching as well as scholarly research and other creative work. The definition and relative weight of the factors may vary with the mission of the individual campus.*

*[FN 3] The persons responsible and the process for making this determination are described in subsections 7.3 through 7.6.*

*"Scholarly research" must include significant publications and, as appropriate, the development and dissemination by other means of new knowledge, technology, or scientific procedures resulting in innovative products, practices, and ideas of significance and value to society.*

*"Other creative work" refers to all forms of creative production across a wide range of disciplines, including, but not limited to, visual and performing arts, design, architecture of structures and environments, writing, media, and other modes of expression.*

*"Teaching" is not limited to classroom instruction. It includes extension and outreach education, and other forms of communicating knowledge to both registered University students and persons in the extended community, as well as supervising, mentoring, and advising students.*

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

*[FN 4] Indefinite tenure may be granted at any time the candidate has satisfied the requirements. A probationary appointment must be terminated when the appointee fails to satisfy the criteria in the last year of probationary service and may be terminated earlier if the appointee is not making satisfactory progress within that period toward meeting the criteria.*

A recommendation for tenure is made when an eligible faculty member has fulfilled the General Criteria for tenure, as stated in Section 7.11, and the standards stated by the Medical School and the department. Candidates must be evaluated for tenure during their mandatory decision year at

the latest. The mandatory decision year occurs during the sixth probationary year for tenure-track faculty in the basic science departments, and in the ninth year for tenure-track faculty in clinical departments.

When distinction in research has greater weight in the decision to award tenure, the candidate must also show, at a minimum, evidence of competence in teaching. When distinction in teaching has the greater weight in the decision to award tenure, the candidate must also show, at a minimum, evidence of competence in research. Distinction in research requires documented evidence of high-level, independent scholarly effort. Distinction in teaching requires documented evidence of innovation and effectiveness in teaching, which have attracted national recognition.

Probationary faculty can extend their maximum period of probationary service, by one year for each occurrence of circumstances as described in Section 5.5 of the Board of Regents Policy: *Faculty Tenure*. In the case of childbirth, adoption, or foster placement of a child, a probationary faculty member must notify the department head, the dean of the Medical School and the senior vice president for academic affairs and provost of this circumstance using University of Minnesota Form UM 1764 and the extension of the probationary period is automatic. In the case of caregiver responsibilities or personal illness or injury, the probationary faculty member must receive the approval of the senior vice president for academic affairs and provost using University of Minnesota Form UM 1765. No probationary period may be extended for more than three years. (See the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty* for more details.)

#### A. TEACHING

Distinction in teaching for the granting of tenure must include scholarly work in education. Evidence of the generation of new methods of pedagogy with national recognition by peers (AAMC, ACE) and impact on educational programs nationally is required. Activities may occur in a variety of educational settings and formats, including: didactic presentations, lectures, seminars, conferences, tutorials, laboratories, case discussions, grand rounds, hospital and clinic rounds, patient care, surgical and other procedures, and continuing education. Competence in teaching requires participation in appropriate courses with satisfactory learner evaluations.

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

1. Innovative contributions to the field of medical education which have been adopted for use by other institutions and are recognized by peers as scholarly contributions.
2. Review of course(s) taught, directed, or developed; a list of students and degree candidates for whom the faculty member has served as academic adviser.
3. Evidence of teaching excellence at the undergraduate, graduate, and/or post-doctoral levels, evaluated by the written statements and/or compiled ratings of students.
4. Written statements by the Head of the Department, academic peers, and others familiar with the candidate's performance in teaching and educational scholarship.
5. Accumulation of above forms of evidence on teaching competence and excellence over a sustained period of time.

Assessment of competence in teaching is based upon:

1. Learner and/or peer evaluations.

#### B. RESEARCH/SCHOLARSHIP

Assessment of distinction in research is based upon the following:

1. A review of the candidate's scientific publications, particularly those in national or international peer-reviewed journals. Evidence is sought that the work is scholarly, creative, and of high quality and significance, whether focused on laboratory endeavors, clinical investigations, or analysis or synthesis of clinical observations and experience.
2. Independence of research accomplishments or significant contribution to interdisciplinary or collaborative research. Evidence of independence or significant contribution to interdisciplinary or collaborative research may include:
  - a. Naming of the candidate as the first or senior author on multi-authored journal articles and/or documentation of major, substantial contributions by the candidate to the collaborative project and publication.
  - b. Statements of peer evaluators on the creativity and significance of the candidate's contributions to a collaborative research project and/or to multi-authored publications.
  - c. Identification of the candidate as the principal investigator or a major collaborator on peer-reviewed, funded research grants or contracts
  - d. Invitations/nominations to serve on study sections, national policy boards, editorial boards, etc.
3. External research funding from federal and other national granting agencies which sponsor programs in biomedical and other scientific research subject to peer review.
4. Significant original contributions based on clinical observations resulting in new therapies or techniques which impact the practice of medicine.

Assessment of competence in research is based upon:

1. Evidence of significant discipline-related publications, including reports of clinical investigations, identification through case reports of new syndromes or treatments, and descriptions of new techniques.
2. Participation in invited scientific and clinical symposia, meetings and lectures.
3. Letters from authorities in the candidate's clinical discipline assessing his/her contributions to the discipline.

**C. CLINICAL SERVICE (if applicable)**

Clinical Service expectations in decisions for tenure and promotion to Associate Professor include enjoying an excellent reputation inside and outside the Twin Cities area as an authority in a clinical specialty, as demonstrated by patient referrals from outside the area, invited visiting lectureships, and memberships in professional societies.

**D. SERVICE**

In the Medical School service contributions are an integral part of the academic unit. Such service can be used to demonstrate an additional area of strength for the recommendation of tenure. Examples of service contributions include:

1. Participation in discipline-specific regional and national organizations.
2. Service to the Department, School, or University on governance-related or policy making committees.
3. Service to the community, State, and public engagement.

**V. CRITERIA AND STANDARDS FOR PROMOTION IN FACULTY RANK**

**A. ASSISTANT PROFESSOR**

In the Medical School, the entry level rank for faculty is at the Assistant Professor level. It is therefore anticipated that there will be no promotions to this rank.

**B. TO ASSOCIATE PROFESSOR**

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

In addition, for clinically active faculty, it is expected that they will have achieved appropriate Board Certification in the specific field where they are practicing.

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 Medical School and the Department. It is also an expectation of the University and the Medical School that all faculty promoted to associate professor with tenure are on a trajectory that will result in them achieving the rank of full Professor.

**C. TO PROFESSOR**

A recommendation for promotion to Professor is based on criteria set by the Medical School and the Department in accord with Section 9.2 of the Board of Regents Policy: *Faculty Tenure*

***9.2 Criteria for Promotion to Professor.*** *The basis for promotion to the rank of professor is the determination that each candidate has (1) demonstrated the intellectual distinction and academic integrity expected of all faculty members, (2) added substantially to an already distinguished record of academic achievement, and (3) established the national or international reputation (or both) ordinarily resulting from such distinction and achievement [FN 7]. This determination is reached through a qualitative evaluation of the candidate's record of scholarly research or other creative work, teaching, and service [FN 8]. The relative importance of these criteria may vary in different academic units, but each of the criteria must be considered in every decision. Interdisciplinary work, public engagement, international activities and initiatives, attention to questions of diversity, technology transfer, and other special kinds of professional activity by the candidate should be considered when applicable. But the primary emphasis must be on demonstrated scholarly or other creative achievement and on teaching effectiveness, and service alone cannot qualify the candidate for promotion.*

*[FN 7] "Academic achievement" includes teaching as well as scholarly research and other creative work. The definition and relative weight of the factors may vary with the mission of the individual campus. Not being promoted to the rank of professor will not in itself result in special post-tenure review of a tenured associate professor.*

*[FN 8] The persons responsible for this determination are the full professors in the unit who are eligible to vote. The outcome of the vote is either promotion to the rank of professor or continuation in rank as an associate professor. The procedures for voting are identical to those outlined in Section 7.4 for the granting of indefinite tenure, the nondisclosure of grounds for the decision (Section 7.5), and the review of recommendations (Section 7.6). In addition, a petition to the Judicial Committee for review of a recommendation of continuation in rank as an associate professor follows the procedures specified in Section 7.7 for decisions about promotion to associate professor and conferral of indefinite tenure.*

Promotion to Professor is not based on time in rank, but on an increasing record of accomplishments. During the period as an Associate Professor, the candidate will have continued to develop his or her already distinguished record in teaching, research, and service and added substantially to the record that was the basis for the promotion to the rank of Associate Professor. The candidate must have achieved a national and international reputation in her or his area of expertise and be recognized as a leader and a mentor.

The proposal of a candidate for Professor will present evidence of additional significant academic, scientific, scholarly, and professional achievements such as:

1. The establishment of a training program for pre- and/or post-doctoral fellows in a specific discipline.
2. Election to prestigious scientific and/or professional organizations which recognize excellence and significant academic contributions.
3. Letters from authorities attesting to the candidate's acknowledged national or international reputation and recognition of leadership in his/her field; letters from prominent senior faculty members at other universities assessing the candidate's qualifications for promotion to the rank of Professor.
4. Nationally recognized leadership roles in the profession or the institution.
5. Evidence of effective mentoring of junior faculty, fellows, and M.D. and Ph.D. trainees.
6. Creating and sustaining a culture that fosters diversity.
7. Ongoing record of peer-reviewed publications.
8. Ongoing record of funding for research or scholarship (if applicable).
9. Ongoing excellence in clinical activity (if applicable).

## **VI. ANNUAL REVIEW OF TENURED FACULTY**

In accordance with Section 7a of the Board of Regents Policy: *Faculty Tenure* and the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty*, each Medical School department will annually conduct a review of each tenured faculty member. The specific Departmental process for annual review and review criteria (i.e. the goals and expectations for continued performance by tenured faculty) will be described in the Departmental 7.12 Statement Part 2.

The Medical School procedures for annual review of tenured faculty are provided in Part 3 of the document (Annual Review of Tenured Faculty).

## **VII. VOTING PROCEDURES**

- A. Promotion and tenure decisions in the Medical School require a positive vote by two-thirds of all eligible voting faculty members on the question to recommend affirmatively for promotion and/or tenure.
- B. Decisions to terminate the contract of a probationary faculty member also require a vote by two-thirds of all eligible voting faculty members in support of the motion to terminate the appointment.
- C. Tenured faculty are eligible to vote on the awarding of tenure to probationary faculty. Tenured faculty holding appropriate rank are eligible to vote on recommendations for promotion of candidates.

## **VIII. PROCESS FOR UPDATING THIS 7.12 STATEMENT**

The Medical School will review its 7.12 Statement Preamble at least every five years, or more frequently as needed. Revisions will be made by the Associate Dean for Faculty Affairs. The



revisions will be presented to the Faculty Advisory Council. All Medical School tenured and tenure-track faculty will be invited to review and give input on the statement, and approval will be obtained through a majority vote of the tenured and tenure-track faculty, in conjunction with approval of their departmental criteria, with the approval date noted on the document.

**History of Revisions (approved by vote of the Faculty):**

*Original Document: Date unknown*

*Revision: April 15, 1993*

*Revision: July 2, 2009*

*Revision Approved by Medical School Faculty: June 21, 2012*

*Approved by Senior Vice President for Academic Affairs and Provost: June 22, 2012*

**PART 2. DEPARTMENTAL ADDENDUM**

**I. INTRODUCTORY STATEMENT**

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

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

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

**II. MISSION STATEMENT**

The Missions of the Department of Otolaryngology are to provide rigorous education, perform innovative research and offer outstanding clinical service, with the overall goal of advancing knowledge through scientific and clinical endeavors. It expects interdisciplinary scholarship, function and relationships, as well as public engagement, to make a visible, significant impact in education, research, and clinical care on the lives of people in the community.

A long-term goal for tenure-track Otolaryngology faculty is to achieve the rank of full Professor. Faculty participate in all three major missions of the department (education/research/clinical service); individual faculty may balance the emphasis across the three missions.

The department emphasizes:

- Education and teaching, which may include but not be limited to the translation of advances in scientific and clinical knowledge to the education and experiences of medical students, residents, clinical fellows, graduate students, post-doctoral fellows, allied health professionals, clinicians, and scientists;
- Research, which includes scholarship in discovery-based disciplines, translation of fundamental discoveries into clinical science, and the evaluation of treatment effectiveness; and
- Service, to patients, the Department, the Medical School, the University, and the local, national, and international community.

To provide an appropriate balance of these functions, the department will seek to appoint individuals from both scientific and clinical backgrounds, in a variety of appointment types, including traditional tenure track positions based in research, a teaching track, and a clinical scholar track. This document pertains only to tenure- track faculty.

**III. APPOINTMENT AND ANNUAL APPRAISALS OF PROBATIONARY FACULTY**

**A. APPOINTMENT OF PROBATIONARY FACULTY**

Tenured and tenure-track appointments require pre-approval by the Dean of the Medical School to initiate a search. Faculty hired with tenure are subject to approval by the Senior Vice President for Academic Affairs and Provost of the University of Minnesota.

## B. ANNUAL APPRAISALS OF PROBATIONARY FACULTY

### 1. Process

The overall process for Annual Review of Probationary Faculty in the Department of Otolaryngology is in compliance with Section 7.2 of the Board of Regents Policy: *Faculty Tenure*. Probationary faculty select a mentor as they enter the tenure track. The mentor meets with and provides advice to the probationary faculty member on a regular basis regarding progress on the tenure track—goals and objectives, methods for reaching goals, and guidance in preparing their dossier.

The Department Head is responsible for preparing the *University of Minnesota (UM) Form 12* (Annual Appraisal Form), which summarizes the discussion. Details of this discussion are provided in the *Procedures for Reviewing Candidates for Promotion and/or Tenure: Tenure-Track or Tenured Faculty*. Each probationary faculty member meets with the Department Head to review her/his progress and to learn the comments of the tenured faculty. The Probationary Faculty's annual accomplishments in education, research, and service are reviewed and summarized on *UM Form 12*, and shared with the Probationary Faculty. The Probationary Faculty are reviewed on their expected progress towards the criteria outlined in Section IV (Criteria for Tenure) and V (Criteria for Promotion) of this document. The *UM Form 12* is forwarded to the Dean and then to the Senior Vice President for Academic Affairs and Provost for review and approval. Each probationary faculty member receives a copy of this form once approved at the Provostal level.

Probationary faculty members and Associate Professors who anticipate promotion within the next two years also meet with the chair of the department's Promotion and Tenure Committee to discuss their readiness for promotion/tenure, specific requirements, procedures, and a timetable for this process.

## **IV. CRITERIA FOR TENURE**

### Standards for Tenure - Department of Otolaryngology

The Department of Otolaryngology accepts and subscribes to the criteria and standards for tenure of faculty at the University of Minnesota Medical School, as described in Part 1. Medical School Preamble, with the following department-specific criteria.

### 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 junior faculty in any of the above categories who engage in research activities in the department.

#### B. RESEARCH / SCHOLARSHIP

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

1. Scientific Publications

Scientific articles representative of a body of knowledge or field of expertise in quality biomedical research should be published in appropriate peer-reviewed journals related to Otolaryngology. Both quality and quantity of publications are considered.

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

*Annals of Otology, Rhinology and Laryngology*  
*Archives of Otolaryngology - Head and Neck Surgery*  
*Ear & Hearing*  
*Head & Neck*  
*Hearing Research*  
*JAMA*  
*Journal of the Acoustical Society of America.*  
*Journal of ARO*  
*Journal of Speech Language and Hearing Research*  
*Laryngoscope*  
*New England Journal of Medicine*  
*Otolaryngology - Head and Neck Surgery*

2. External Research Funding

A candidate should be, or should have been, the recipient of a grant(s) or contract(s) by designation as Principal Investigator or a major collaborator 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,  
Department of Veterans Affairs, 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

3. Publications in Monographs, Reviews and Other Books

Publications through these modalities are part of the scholarly activities of a faculty member, but can not 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 IV.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. CLINICAL SERVICE

Clinical service, although not the sole criterion for successful advancement, is an important consideration when applicable (for clinicians). Clinical service includes high quality patient care in a clinically productive practice. Professional and high quality standards should be evident. Faculty should have an excellent reputation inside and outside the Twin Cities area as an authority in their area of expertise, as demonstrated by patient referrals, invited visiting lectureships, and memberships in professional societies. Faculty should have developed and have a role in unique and nationally distinguished clinical programs.

#### D. SERVICE

Service, although not a primary criterion for tenure, will be taken into consideration in making decisions on tenure. Service may include clinical and/or administrative service.

### **V. CRITERIA AND STANDARDS FOR PROMOTION IN FACULTY RANK**

#### A. ASSISTANT PROFESSOR

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

#### B. TO ASSOCIATE PROFESSOR

The Assistant Professor rank is usually held for a period of up to 9 years before the promotion to Associate Professor is considered. Promotion to the Associate Professor rank is a prediction by the faculty that the candidate will continue to be a superior educator, productive in research, will publish in quality journals and is likely to be rewarded by appropriate granting mechanisms and by grateful students. The promotion is based on substantive evidence of early success in educational and research scholarship.

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

#### C. TO PROFESSOR

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

A recommendation for promotion to Professor is made when an Associate Professor has fulfilled the criteria and standards for the rank of Professor as stated by the Medical School and the Department. The criteria stated for promotion to Associate Professor will continue to be applicable during the intervening period of time. The proposal of a candidate for Professor will also present evidence of additional significant academic, scientific, scholarly and professional achievements, such as:

1. Significant achievements in research, education, or clinical, methodological, or technical innovations. Serving as a principal investigator on major research projects, acquisition of sustained major research funding, and a substantive body of scholarly publications are evidence of significant achievements in research.

Consistently excellent documentation of teaching programs and skills, dissemination of educational programs, and peer-reviewed acceptance of teaching innovations are evidence of significant achievements in teaching. Development of new instruments, technologies or methodologies that are recognized nationally and/or internationally is evidence of significant achievements in innovation.

2. Election to nationally recognized, prestigious scientific and/or professional organizations which recognize excellence and significant academic contributions.
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 for promotion to the rank of Professor.
4. Creating and sustaining a culture that fosters diversity.

## **VI. ANNUAL REVIEW OF TENURED FACULTY**

All tenured faculty are reviewed each academic year on a formal basis by the Department Head. The evaluation considers performance in scholarly activity, teaching, patient care, administrative activities, service, professional development and citizenship.

Faculty will be evaluated on the basis of their accomplishments supporting the departmental mission statement above. Reviews will be guided by updated curriculum vitae that reflect scientific peer-reviewed publications, research productivity and quality, teaching effectiveness, clinical productivity and quality, and service. Examples of specific journals for publication and potential funding sources can be found in Section IV-B. of this document. The criteria for satisfactory performance to be used for the annual review in the Department of Otolaryngology are the same as with the appropriate criteria for rank, as defined in this 7.12 Statement.

The Department of Otolaryngology utilizes the process for Post-Tenure Review defined by PART 3. Annual Review of Tenured Faculty. As part of this process, the faculty member undergoes an annual review for which he/she prepares an updated C.V. and Faculty Self-Evaluation Form. The faculty member meets individually with the Department Head, to discuss his/her accomplishments of the preceding year, and goals for the upcoming year. This annual review covers the components described below, as they apply to the individual's assigned responsibilities.

The Department of Otolaryngology 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 Otolaryngology are expected to excel in the areas of research, teaching and service in a fashion and manner that has resulted in the award of indefinite tenure for their accomplishments. Faculty members in the Department of Otolaryngology that have been awarded tenure are expected to continue to pursue basic and clinical research investigation, to teach at all educational levels, and to fulfill administrative service responsibilities. Continued academic excellence is expected by tenured faculty at the ranks of both Associate Professor and Professor

In general, tenured faculty members should continue as active participants in the intellectual life and mission of the Department. The specific goals and expectations for the department are listed below. While all tenured faculty members should be judged by these criteria, it is recognized that not all will fulfill each of these specific goals.

The specific criteria for performance evaluation in the Department include:

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 ongoing competence and accomplishments in teaching may be demonstrated:

1. Continued practical and classroom education of undergraduate medical students.
2. Practical and didactic education of medical residents and fellows.
3. Ongoing 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, postdoctoral research associates, visiting foreign postdoctoral 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. 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.
9. 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. Ongoing scientific publications: substantial contribution to high impact journals as well as first ranked journals in subspecialty areas.
2. Continuous 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 of 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 SERVICE**

Active clinical service, although not the sole criterion for successful post-tenure review, will be taken into consideration. Clinical service includes high quality patient care in a clinically productive practice. Professional and high clinical standards should be evident. Specific goals can include:

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

**D. SERVICE**

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 practice for graduate education and research in the Department of Otolaryngology.
3. Service on Medical School and/or Academic Health Center Committees.
4. 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.
5. 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.
6. Service to the community when that service is related to the individual's discipline and supports the mission of the academic unit.
7. 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.

**VII. VOTING PROCEDURES**

**A. VOTE**

1. A vote will be taken for decisions to recommend a candidate for promotion and/or tenure. Such a vote will require a 2/3 majority for the motion to pass.
2. A vote will be taken for all decisions to terminate the contract of a probationary faculty member. Such a vote will require a 2/3 majority for the motion to pass.

**VIII. PROCESS FOR UPDATING 7.12 STATEMENT**

The department will update its 7.12 Statement every five years, or more frequently as needed. Revisions will be made by an appointed Promotions and Tenure Subcommittee. All departmental faculty will be invited to review and give input on the statement, and approval will be obtained through a vote by faculty, with the approval date noted on the document.

**History:**

*Approved by Otolaryngology Faculty: September 27, 2012*

*Approved by Senior Vice President for Academic Affairs and Provost: September 28, 2012*



**PART 3. ANNUAL REVIEW OF TENURED FACULTY**

A. ANNUAL REVIEW

All tenured faculty must undergo an annual review each year. This process is key in allowing the faculty member and the department to assess individual progress. It also helps to protect the faculty member, the department, and the School, in case of any misunderstanding or conflict that may arise. For any questions about this process, please call the Office of Faculty Affairs and/or the Vice Provost for Faculty and Academic Affairs.

1. During the spring of each academic year, all department heads will schedule an annual review conference with each tenured faculty member. This responsibility may be delegated to Division Chiefs, Departmental Review Committee, Center Directors or other designee. All reviews must receive final approval and signature from the Department Head.
2. Prior to this conference the individual faculty member will provide the requisite information, as well as an updated curriculum vitae, following the department's annual review reporting format.
3. Annual reviews may be carried out in the format preferred by each department but must, at a minimum, be compliant with the rules detailed in the Board of Regents Policy: *Faculty Tenure, Section 7a*, and the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty*.
4. The annual review documentation should include:
  - a. Accomplishments of the previous year, particularly in relation to goals set for the year.
  - b. Detailed accomplishments in each domain relevant to the faculty member (as applicable: teaching, research and/or scholarship, service, and clinical activity (if applicable)):
    - i. Evaluation of quality and quantity of teaching, attitude towards learners, knowledge of subject matter, and specific contributions to continuing education.
    - ii. Evaluation of research and/or scholarly activity including current projects, grants applied for or funded, publications, and papers presented or submitted.
    - iii. Evaluation of service.
    - iv. Evaluation of clinical activity (when applicable), including volume of patients served, breadth of referrals, incorporation of patient care into teaching program, activity in local and national professional organizations.
  - c. Percentage of effort in each domain, to be updated annually.
  - d. Agreed upon goals for the upcoming year.
  - e. Plans for subsequent years with specific recognition of outstanding accomplishments and plans to maintain high performance level.
5. The Annual Review conference should emphasize frank discussion concerning the faculty member's past and present performance in given areas of responsibility, noting progress in achieving previously established goals and objectives. In particular, it is

important to frame the evaluation in the context of the proposed distribution of responsibilities in the four domains of Teaching, Research/Scholarship, Service, and Clinical Activity (if applicable). If the faculty member is working towards promotion, the Department Head and the faculty member should ensure that year-by-year progress, consistent with the Departmental 7.12 Statement, has been appropriate to date and specific goals for the coming year should be agreed upon.

Pursuant to the *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure Track and Tenured Faculty*, each department's tenured faculty shall review their tenured associate professors at a minimum of every four years regarding their progress toward achieving the rank of professor. This review is based upon the criteria for promotion to professor in the department 7.12 statement. This four-year progress review can be part of the annual review process.

6. Following the Annual Review conference, the Department Head or designee will complete the Medical School Annual Review Form, summarizing the conference and stating the agreed upon goals for the upcoming year. The Medical School Annual Review Form must be signed by the faculty member, the evaluator (if applicable), and the Department Head.
7. For faculty members who have met the goals and expectations for tenured faculty for the department, according to the department 7.12 statement, the signed Medical School Annual Review Form is sent to office of Associate Dean for Faculty Affairs who signs on behalf of the Dean. The review form will be handled confidentially by the Dean and the Associate Dean and will assist them in supporting recommendations for promotion, special recognition, or salary adjustments.
8. If the department head or designee finds that the tenured faculty member's performance is below that of the goals and expectations of the department as specified in the 7.12 statement, then the case is referred to a committee of elected, tenured faculty members in the department. If that committee concurs with the judgment of the department head, then both the department head and the committee formulate a detailed written Faculty Improvement Plan for the faculty member. The letter from the department head and the elected committee must identify the ending date for the period of performance improvement and must request that the faculty member provide a report at that time describing his or her progress towards meeting the goals and expectations of the department.

The department head and the committee chair should make reasonable efforts to meet with the faculty member to discuss the plan for meeting the goals and expectations of the unit. The faculty member may request modification of the plan from the department head and the committee but may not at this stage file a complaint with the Senate Judicial Committee.

At the end of the time period specified for performance improvement, the faculty member under review must provide a report describing his or her progress toward meeting the goals and expectations of the department. The department head and the elected committee of tenured faculty will then review the progress that the faculty member has made regarding the recommendations as specified in the report from the faculty member.

This process above may be repeated for a second year if the faculty member has failed to complete the initial plan.

## **B. SPECIAL PEER REVIEW**

### **1. Initiation**

In compliance with Section 7a.3 of the Board of Regents Policy: *Faculty Tenure*, a Special Peer Review may be requested by the department head and the departmental review committee of elected, tenured faculty members following the unsuccessful completion of a Faculty Improvement Plan as described in Section A.8 above.

2. The Medical School Dean will be notified and asked to initiate a Special Review. The Dean must first review the file independently to determine that the faculty member falls below the department's goals and expectations and has not successfully completed the Faculty Improvement Plan. S/he determines that special peer review is warranted.

3. The *Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty* describe details of the process for the special peer review. Some of these are highlighted below but the reader is referred to the *Procedures* and the *Faculty Tenure* policy for a complete perspective. All of the steps in the *Procedures* and subsection 7a.3 of the *Faculty Tenure* policy must be followed even if they are not described in this document.

### **4. Review Panel**

A Special Review Panel composed of tenured members at the same rank or above the rank of the faculty member under review:

- i. Members are elected independently for each Special Review, by the tenured faculty of the department.
- ii. Members (5) include:
  1. 1 member appointed by the faculty member being reviewed.
  2. 4 members elected from a slate of candidates nominated by department head and the tenured faculty.
- iii. Members may be in the department or outside, if appropriate – case by case. If the faculty member has a secondary appointment in another department, that department should be represented on the committee.
- iv. Members should not be the same as any previous review committee for that faculty member

### **5. Special Review materials include:**

- a. Department head and previous Review Committee statement(s) requesting Special Review.
- b. Annual review with goals and effort distribution (at least 5 years if available).
- c. Previous recommendations for faculty development and outcomes (Performance Improvement Plans).
- d. Personal statement by the faculty member.
- e. Current annotated curriculum vitae.
- f. Teaching evaluations.
- g. Reprints.
- h. Supporting documentation, including, but not limited to, letters of acceptance for articles in press, and acknowledgement by journal or funding agency of manuscript or proposal receipt.

- i. Any other relevant documentation.
6. Review Criteria and Methodology
- a. The main focuses of the Special Review are the area(s) of deficiency identified in previous review(s).
  - b. Due process procedures, as defined in University documents, will be applied to address disagreements at different levels of the review and to offer protection for academic freedom.
  - c. Faculty members undergoing review may examine any material in their file at any time in the review process
  - d. Faculty member's performance will be evaluated as either:
    - i. Satisfactory: meeting department and/or Medical School goals and expectations for tenured faculty members.
    - ii. Unsatisfactory: not meeting department and/or Medical School goals and expectations for tenured faculty members.
  - e. The actions that the Panel may recommend, listed in section 7a.3 of the Board of Regents Policy: *Faculty Tenure*, include:
    - i. Terminate review if the Panel finds that the faculty member's performance meets the goals and expectations of the department.
    - ii. Alter allocation of effort if the Panel determines that the faculty member's strengths are not being fully utilized: it might suggest that the allocation of effort between teaching, research, and service be altered so as to maximize the faculty member's contributions to the University.
    - iii. Suggested improvements: if the faculty member's performance is likely to be improved by specific steps, and that process can adequately be monitored by further regular Annual Reviews, the Panel may suggest that those steps be taken and remit the case to the Annual Review process.
    - iv. Salary reduction if the faculty member's performance has declined in such a way as no longer to warrant the base salary that is attached to the position, the Panel may recommend a reduction in base salary of up to 10% (see Board of Regents Policy: *Tenure Faculty* for complete details).
    - v. Dismissal: if the faculty member's performance has fallen below the standard of the Board of Regents Policy: *Faculty Tenure* Section 10.21(a), "sustained refusal or failure to perform reasonably assigned duties adequately," the Panel can recommend the commencement of proceedings for termination of appointment, or involuntary leave of absence (see details below).
    - vi. The Panel may also recommend a combination of these measures.
  - f. The recommendations of the Panel will be implemented by the Department, the Dean's Office or other administrative body, as appropriate, depending on the specific recommendation.

**History of Revisions (approved by vote of the Faculty):**

*Original Document: Date unknown*

*Approved by Medical School Faculty: June 21, 2012*

*Approved by Senior Vice President for Academic Affairs and Provost: June 22, 2012*