FACULTY REVIEW POLICY

ANNUAL FACULTY REVIEW

All Full Time (including Affiliate and WOS) Medical School Faculty (Tenure Track [N], Tenured [P], Clinical Scholar [I], Teaching Track [K], Research Track [W]) at all ranks must undergo an Annual Review. 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 do not hesitate to call the Office of Faculty Affairs.

1) During the winter/spring of each academic year, all Department Heads will schedule an annual review conference with each full-time or affiliate 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 of the Department Head.

2) Prior to this conference, the individual faculty member will provide the requisite information, following the department’s annual review reporting format, as well as an updated Curriculum Vitae.

3) Annual reviews may be carried out in the format preferred by each department but must, at a minimum, include the following:
   a. Compliance with the rules detailed in the Board of Regents Policy: Faculty Tenure, section 7a.2, for probationary and tenured faculty
   b. Accomplishments of the previous year, particularly in relation to goals set for the year.
   c. Detailed accomplishments in each domain relevant to the faculty member (as applicable: scholarship, teaching, service, clinical activity):
      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 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.
      iv. Evaluation of service.
   d. Percentage of effort in each domain – updated annually.
   e. Agreed upon goals for the up-coming year.
   f. Plans for subsequent year:
      i. Specific recognition of outstanding accomplishments etc and plans to maintain high performance level.
      ii. Detailed faculty development plans for areas of deficiency.

4) 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 4 domains of Teaching, Research/Scholarly Activity, Service, and Clinical activity (if applicable). If the faculty member is working towards advancement or tenure, the Department Head and the faculty member should assure themselves that year-by-year progress, consistent with the departmental 7.12 or other track statement has been appropriate to date and specific goals for the coming year should be agreed upon.

5) Following the annual review conference, the Department Head or designee will complete Form 12, or 12a (as applicable), summarizing the conference and stating the agreed upon goals for the up-coming year. The Summary form must be signed by the faculty member, the evaluator and the Department Head, if the evaluator is a third individual.

6) The signed Summary form is sent to office of Associate Dean for Faculty Affairs – who also signs. The Summary will be handled confidentially by the Dean and the Associate Dean and will assist them in supporting recommendations for promotion, tenure, special recognition, or salary adjustments.

Approved by the Executive Faculty of the Medical School: November 20, 2008
Approved by the Senior Vice President for the Health Sciences: July 15, 2009
# APPRAISALS OF PROBATIONARY FACULTY

**As required by Regulations Concerning Faculty Tenure (effective July 1, 1985)**

**Copies to:**
- [ ] Senior VP Academic Affairs
- [ ] Dean
- [ ] Department Head
- [ ] Faculty Member
- [ ] Department Retain

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## Appraisal during academic year 20____ - 20____

<table>
<thead>
<tr>
<th>Name</th>
<th>Years credited for probationary service:</th>
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<tbody>
<tr>
<td></td>
<td>Prior service credit</td>
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<thead>
<tr>
<th>Current Rank</th>
<th>Effective</th>
<th>Institution</th>
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<table>
<thead>
<tr>
<th>Department in which probationary appointment is held</th>
<th>Rank</th>
<th>From</th>
<th>To</th>
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</table>

<table>
<thead>
<tr>
<th>College</th>
<th>_______ Cumulative University of Minnesota probationary years.</th>
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<tbody>
<tr>
<td></td>
<td>Include the current year in computation.</td>
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<tr>
<th>Beginning date of probationary appointment:</th>
<th>Appointment term and percent time:</th>
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</table>

Academic unit’s appraisal of the candidate’s teaching, research, and service according to Section 7.11 of the Tenure Regulations and the unit’s Section 7.12 statement (use reverse side if necessary)

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Academic unit’s recommendation:

- [ ] Continuation of probationary appointment
- [ ] Continuous appointment
- [ ] Promotion
- [ ] Senior Vice President to send certified written notice of terminal appointment
- [ ] Signed and dated resignation letter attached

Have appropriate members of the academic unit participated in the above recommendation in accordance with the Regulations Concerning Faculty Tenure?

- [ ] Yes
- [ ] No

This appraisal has been reviewed by the probationary faculty member.

<table>
<thead>
<tr>
<th>X</th>
<th>Probationary Member</th>
<th>Date</th>
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<table>
<thead>
<tr>
<th>X</th>
<th>Department Head</th>
<th>Date</th>
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Dean’s comments and recommendation

<table>
<thead>
<tr>
<th>X</th>
<th>Dean</th>
<th>Date</th>
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Senior Vice President’s recommendation

<table>
<thead>
<tr>
<th>X</th>
<th>Senior Vice President</th>
<th>Date</th>
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</thead>
</table>

**BOARD OF REGENTS’ ACTION**

Date of notice of terminating appointment if such action is taken

<table>
<thead>
<tr>
<th>Approval Date</th>
<th>Indefinite Tenure Effective</th>
<th>Promotion Effective</th>
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</table>

Letter of resignation

<table>
<thead>
<tr>
<th>Senior Vice President’s letter posted</th>
<th>Effective Date</th>
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</table>

**UNIVERSITY OF MINNESOTA**

President Form 12
Rev 8/89
**UNIVERSITY OF MINNESOTA MEDICAL SCHOOL**

**SUMMARY APPRAISALS OF ALL NON PROBATIONARY FULL TIME FACULTY***

<table>
<thead>
<tr>
<th>Track</th>
<th>Tenured (P)</th>
<th>Clin Schol (I)</th>
<th>Teaching (K)</th>
<th>Yr App/ Research (W)</th>
</tr>
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**Appraisal during academic year 20___ - 20___**

- **Name**
- **Distribution of effort (%):**
  - Research
  - Teaching
  - Service
  - Clinical Activity
- **Current Rank**
- **Effective Date (rank):**
- **Academic unit in which appointment is held:**
  - Cumulative University of Minnesota years.
  - Include the current year in computation.
- **Beginning date of appointment:**
- **Appointment term and percent time:**

Academic unit’s appraisal of the candidate’s teaching, research, and service according to specific track criteria.

Academic unit’s recommendation (check all that apply): †

- Continuation of appointment
- Faculty Development Plan Needed
- Notice of Termination will be sent**
- Special Review Requested

Have appropriate members of the academic unit participated in the above recommendation?

- Yes
- No

*Signature indicates that this appraisal has been reviewed by the faculty member. Signature does not imply agreement.*

**Signatures:**

<table>
<thead>
<tr>
<th>Faculty Member</th>
<th>Date</th>
<th>Reviewer (other than Dept Head)</th>
<th>Date</th>
<th>Department Head</th>
<th>Date</th>
</tr>
</thead>
</table>

Dean’s comments and recommendation

[Signature]

Date

SVP for Health Sciences comments and recommendation

[Signature]

Date

* Includes Affiliate and WOS faculty

** Not applicable to tenured faculty

† This review addresses performance only. Contract appointments may be subject to non-renewal for reasons other than performance (ex.: financial or program need). Under these circumstances, satisfactory performance does not guarantee renewal of the appointment.