I. INTRODUCTORY STATEMENT

This document describes the specific criteria and standards which will be used to evaluate whether faculty meet the general criteria for promotion on the Research Track (W). Research Track appointments are annually renewable and are not in the tenure stream. Criteria and standards described in this Statement are used for appointment at all ranks and for promotion of faculty on the Research Track. The Research Track Statement also defines the criteria for annual performance review of Research Track faculty at all ranks, and where appropriate, post-promotion review.

This document contains Criteria and Standards pertaining to:

A. Appointment
B. Promotion from Assistant Professor to Associate Professor and from Associate Professor to Professor
C. The process for the annual faculty performance review

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

Research Track Statements are reviewed and approved by the Dean of the Medical School.

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-Investigators and interdisciplinary collaboration on major funding proposals as well.

III. APPOINTMENT AND ANNUAL PERFORMANCE REVIEW OF FACULTY

A. Appointment of Faculty

Research Track appointments may be made on all University of Minnesota Medical School campuses and affiliated sites, following the processes described in the Medical School Policy on Faculty Appointments.

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 (M.D. or equivalent and/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 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 PART 2.

DEPARTMENTAL ADDENDUM

2. **Associate Professor and Professor**
The criteria for appointment as Associate Professor or Professor are the same as the criteria for promotion to the proposed rank, found in Sections IV.B. and IV.C.

**B. Annual Performance Review of Faculty**

1. **Process**
All Research Track faculty, at all ranks, undergo an annual performance review. The process for this review is described in the *Medical School Faculty Review Policy: Annual Review*. The department defines the criteria for annual performance review in PART 2. DEPARTMENTAL ADDENDUM of this Research Track Statement. The head of each department or his/her designee annually reviews the progress of each faculty member. The Department Head prepares a written summary of that review and discusses the faculty member’s progress with the faculty member, giving him/her a copy of the report. In considering proposals for promotion in rank, the Medical School and its Departments comply with the procedures described in this Statement (Section VI).

The Department Head and (if applicable) departmental faculty will meet annually to review and discuss the performance of Research Track Assistant Professor faculty, relative to the Research Track Statement. The annual review of all Research Track faculty will be recorded on the Medical School Form 12a and will reflect the faculty member’s performance relative to the Departmental Research Track Statement. The Department may choose to empower a committee (for example, a Research Track Committee or the Promotion and Tenure Committee) to assist the Department Head with the review of Research Track faculty. For promotion in rank, a vote of the faculty must be taken. For continuation of the appointment, a vote of the faculty is optional. A record of the vote will be included on the Form 12a, if a vote was taken. The Department Head and faculty member will sign the completed Form 12a. The Form 12a is forwarded to the Dean of the Medical School for review, comment, and signature. The signed Form 12a will be kept in the faculty member’s personnel file and will subsequently become a part of the dossier for promotion.

2. **Criteria**
The criteria for satisfactory performance for the annual review are the same as those for the appropriate rank, as defined in this Research Track Statement.

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.
IV. CRITERIA AND STANDARDS FOR PROMOTION IN RANK

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

B. To Associate Professor
A recommendation for promotion to Associate Professor is made when an eligible faculty member has fulfilled the specific standards for promotion to Associate Professor as stated by this Research Track Statement.

1. **Teaching**
   While quantity and type of teaching is highly variable for Research Track faculty, teaching is required for promotion. Evidence of high-quality contributions to the teaching of undergraduate, graduate or post-graduate students is required. This may be documented by formal peer evaluations and student evaluations.

2. **Research/Scholarship**
   Independence of research accomplishments or significant contribution to interdisciplinary or collaborative research. Evidence may be based upon the following:
   a. 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.
      - Documentation of major, substantial contributions to multi-authored journal articles.
      - Statements of peer evaluators on the creativity and/or significance of the candidate's contributions to multi-authored publications.
   b. External research funding from granting agencies, foundations, industry sponsors, and institutions which sponsor programs in biomedical research subject to peer review.
      - Serving as a collaborator or principal investigator on peer-reviewed, funded research grants or contracts
      - Contribution to interdisciplinary or collaborative research.
   c. Invitations/nominations to serve on study sections, national policy boards, editorial boards, etc.
   d. Significant original contributions based on laboratory or clinical observations resulting in new therapies or techniques which impact the practice of medicine, and descriptions of new techniques; participation in invited scientific and clinical symposia, meetings and lectures.

3. **Service**
   Service, although not a primary criterion for advancement, will be taken into consideration in making decisions on promotion. Performance of service, however exemplary, cannot substitute for the primary criteria, research and teaching. Examples of service contributions include:
   a. Service to the Department, School, or University on governance-related or policy making committees.
   b. Roles in discipline-specific regional and national organizations,
   c. Service to the community, State, and public engagement.
4. **Clinical Service (only if applicable)**

Clinical Service expectations for promotion to Associate Professor include enjoying an excellent reputation inside and outside the local area as an authority in a clinical specialty, as demonstrated by patient referrals from outside the area, evidence of clinical outcomes, invited visiting lectureships, memberships in professional societies, and participation in administrative and leadership groups related to the medical specialty. Clinical excellence is not defined by a revenue metric. Clinically active faculty are expected to achieve and maintain appropriate Board certification in their particular field.

**C. To Professor**

A recommendation for promotion to Professor is made when an eligible faculty member is recognized as a leader in research, achieves national and/or international visibility; presents evidence of effective mentoring of other faculty members; fosters a culture which enhances diversity; and has made additional academic, scientific, scholarly, and/or professional achievements, which include but are not limited to the following, recognizing that not all standards will apply to all faculty:

1. **Teaching**
   
   While quantity and type of teaching is highly variable for Research Track faculty, teaching is required for promotion to Professor. Continued evidence of high-quality contributions to the teaching of undergraduate, graduate or post-graduate students is required. This may be documented by formal peer evaluations, student evaluations, and teaching awards.

2. **Research/Scholarship**

   Assessment of excellence and leadership in scholarship may be based upon one or more of the following:

   a. Scientific publications, particularly those in national or international peer-reviewed journals, with substantive contributions documented.

   b. Independence of research accomplishments or significant contribution to interdisciplinary or collaborative research.

   c. External research funding from federal and other national granting agencies, foundations, industry sponsors, and institutions which sponsor programs in biomedical research subject to peer review
      - Principal investigator, co-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.

   e. Senior role on significant original contributions based on laboratory or clinical observations resulting in new therapies or techniques which impact the practice of medicine.

   f. Reviews by peer evaluators.

3. **Service**

   In the Medical School, leadership in service contributions is expected for promotion to Professor. Examples include:

   a. Leadership roles in discipline-specific national organizations, including but not limited to: committee chair, symposium organizer, session chair, grant reviewer, member of editorial board.
b. Leadership roles in the service to the Department, Medical School, or University on governance-related or policy making committees (e.g.: committee chair).

c. Evidence of skills in ongoing mentorship for advancing the careers of younger professionals (e.g., continuing mentorship of pre-doctoral students, medical students, and residents, advancement of post-doctoral associates, junior faculty members, and other professional colleagues).

d. Service to the community, State, and public engagement.

4. **Clinical Service (only if applicable)**

Clinical Service expectations in decisions for promotion to Professor include enjoying an excellent reputation at the national level as an authority and a leader in a clinical specialty, as demonstrated by patient referrals from outside the region, invited national visiting lectureships, and memberships in professional societies.

**D. Joint Appointments**

If a faculty member has a joint appointment in another department and is being considered for promotion, the primary department will contact the other department(s) to obtain their assessment and record of vote on the proposed promotion.

**V. PERIODIC CAREER REVIEW**

All senior Medical School faculty (Associate Professor and Professor) will be eligible for an optional Periodic Career Review, providing an in depth assessment over five years of their career at that particular stage. The process for this review is described in the Medical School Policy: Periodic Career Review.

**VI. PROCEDURES**

Promotion in the Medical School requires a positive vote by two-thirds of eligible voting faculty members at the department level on the question to affirmatively recommend for promotion. All full time faculty holding appropriate appointment and rank, including those at affiliated sites, are eligible to vote on recommendations for promotion of candidates in the Research Track. The process for promotion will be the same for all tracks in the Medical School.

The promotion dossier will follow the standardized format required by the University.

**VII. PROCESS FOR UPDATING THIS STATEMENT**

The Medical School will review its Research Track 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 faculty will be invited to review and give input on the Statement, and approval will be obtained through a majority vote of the faculty, in conjunction with approval of their departmental criteria, with the approval date noted on the document.

**History of Revisions:**

Original Document: Date of Faculty Assembly
Revision:
PART 2: DEPARTMENTAL ADDENDUM, DEPARTMENT OF PEDIATRICS

I. INTRODUCTORY STATEMENT

This statement describes the specific criteria and standards which will be used to evaluate whether faculty on the Research Track in the Department of Pediatrics meet criteria for appointment and promotion on the Research Track. This document contains the Department’s criteria and standards pertaining to:

- Appointment to a faculty position
- Annual performance review
- Periodic career review
- Promotion from Assistant to Associate Professor, and from Associate to Full Professor

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

Research Track faculty are integral to the mission of the Medical School and the Department. The main focus of individuals on the Research Track is basic and applied research; in rare instances clinical service may be applicable.

II. MISSION STATEMENT

The Department of Pediatrics 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, providing outstanding and state-of-the-art patient care, providing continued medical education for physicians, and supporting basic and applied research to clinical problems.

III. GENERAL DESCRIPTION

Faculty on the Research Track are typically Ph.D. basic or applied scientists. Their major responsibility is providing a critical supportive role of ongoing research within the Department. They are essential to the mission of the Medical School and the Department of Pediatrics. Unlike Tenure Track/Tenured faculty, who also have a research focus, faculty on the Research Track are generally not principal investigators on projects, but play a vital role in conducting the work and ensuring its scientific integrity. Faculty on the Research Track are not eligible for tenure.

Faculty on the Research Track are expected to demonstrate unequivocal excellence in their area of research expertise, to be significantly engaged in scholarship activities, and to display continuous and progressive academic productivity.

Scholarship expectations for Research Track faculty
Excellence in research along with competence in teaching/educational scholarship and professional service/publicly engaged scholarship are required for promotion.

Promotion will require unequivocal documented evidence of both high scholarship and a strong regional, national, and/or international reputation.
Definition of teaching
Teaching activities may occur in a variety of educational settings and formats, including didactic presentations such as laboratory and applied science lectures, seminars, conferences, tutorials, grand rounds, community education, and/or continuing medical education; and advising/mentoring undergraduate, pre- and postdoctoral students.

Definition of scholarship
Scholarship activities of Research Track are not defined by independent external grant support, but are expected to be sustained and productive. Scholarship activities may include the scholarship of basic or applied research discovery, integration, or dissemination. The definition of scholarship must be broad enough to reflect the dynamic nature of medical education and clinical practice.

Demonstrating scholarship requires a measurable, well-documented “product”. While traditional products include such things as publications or teaching materials, the exact documentation of academic productivity may be non-traditional. When a Research Track faculty member is reviewed for appointment, reappointment or promotion, careful consideration is given to the quality, quantity and originality of the scholarship and to the overall level of academic productivity.

When relevant, a faculty member’s contributions to interdisciplinary teamwork will also be given careful consideration. Factors such as originality, indispensability and unique abilities will be considered when making this evaluation. The candidate and the project director will need to both describe the candidate’s specific role in the overall team effort.

IV. SPECIFIC CRITERIA FOR DEMONSTRATING SCHOLARSHIP EXCELLENCE ON THE RESEARCH TRACK

Faculty on the Research Track are expected to demonstrate research scholarship excellence with authorship on peer-reviewed papers describing original research. Research scholarship may be demonstrated by:

- Peer-reviewed papers in prominent journals (faculty on the Research Track do not need first or last authorship positions, but a unique, substantial and indispensable role in the project needs to be documented)
- Serving as investigators on peer-reviewed research grants (not necessarily in the principal investigator role)
- Evidence of a key role in facilitating the research activity of a department or a constituency
- Development of new technology or patented discoveries
- Involvement in major roles in regional research or laboratory activities
- Peer-reviewed and/or invited presentations at national meetings or other institutions
- Election to membership or leadership in prestigious professional societies or other recognition awards

V. APPOINTMENT, PROMOTION AND ANNUAL PERFORMANCE REVIEW OF FACULTY

A. Appointment of Faculty – Criteria and standards for promotion in rank
The Department of Pediatrics accepts and subscribes to the statement on criteria and standards for appointment of faculty in the University of Minnesota Medical School. Faculty are expected to support and foster all aspects of the mission of the department, including scholarship, education, administration, applied medical science, and service. Research track
DEPARTMENT OF PEDIATRICS

Faculty should possess a doctoral degree (typically a PhD, but also could be MD, PsyD, EdD, PharmD, or equivalent), and a significant portion of their time should be spent in research, as well as education and service (clinical practice is appropriate only if applicable). The following standards are specific to the department.

1. **Assistant Professor**
   Individuals being appointed at the rank of Assistant Professor in the Research Track should have experience with, and commitment to support and foster all aspects of the academic mission of the Department of Pediatrics. Competence in research scholarship and a commitment to teaching are expected. Faculty are expected to develop an area of focus and excellence as outlined in Section IV. There is no specified length of time a person on the Research Track can remain an Assistant Professor, and promotion to Associate Professor may occur whenever the individual has achieved the necessary milestones for promotion.

2. **Associate Professor**
   Promotion or appointment to Associate Professor requires excellence in research and competence in teaching and professional service. Regional and/or national recognition is expected in the primary focus area. Careful consideration is given to the quality, quantity and originality of the scholarship, to the overall level of academic productivity, to the continuous and progressive nature of the scholarly activities, and to the potential for future accomplishments. Promotion is based on performance rather than time in previous rank.

3. **Professor**
   Individuals advanced to the rank of Professor should be recognized nationally and/or internationally as authorities or leaders within their fields, for superior achievements made in scholarly activities, and as dedicated academicians. They must provide evidence of continuing scholarly productivity. Leadership roles both within the institution and externally are expected. Promotion to this rank is based on achievements rather than time in previous rank.

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 promotion in rank. The pertinent documents are identified as exhibits enclosed with a cover memorandum from the Dean.

**B. Annual Performance Review of Faculty**

1. **Process**

   All Assistant Professors on the Research Track in the Department of Pediatrics whose primary appointment is at the University are assigned a promotions mentor from the Research Track committee. The role of this mentor is to provide guidance regarding progress towards promotion, and to serve as an advocate for the faculty member to ensure appropriate protected time and mentorship are available to meet Research Track scholarship goals.
All Research Track faculty members of all ranks undergo a performance review each year which is used for salary adjustment and faculty development. As part of this review, the faculty member meets with the Division Director and, for junior faculty, the Research Track mentor. The Division Chief then meets with the Department Head to discuss accomplishments over the preceding year and goals for the upcoming year. If concerns are identified, the Department Head will meet with the faculty member.

VI. PROCESS FOR UPDATING THIS STATEMENT
The Department of Pediatrics will update its Research Track Statement every five years or more frequently as needed. Revisions will be made by an appointed Departmental Committee. All 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 of Revisions:
- Original Document: October 20, 2011
- Revision: [Month] [Year]