

**GUIDELINES
ON
EVALUATION, PROMOTION AND TENURE**

**UNIVERSITY OF NORTH DAKOTA
School of Medicine & Health Sciences**

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Note: Sections from the UND Faculty Handbook in *BOLD italics* and Sections from the SBHE Policy in BOLD

INTRODUCTION

The procedures and guidelines contained in the following document were developed in 1978-1979, modified in 1986-1987 by the Committee for Academic and Professional Qualifications (CAPQ), modified in 1995 by the Faculty Academic Council (on the recommendation of the CAPQ), following recommendations from a faculty retreat, and revised in 2000-03 by the Committee on Promotion and Tenure (CPT). The major sections include guidelines for promotion, evaluation, tenure, and rank. The primary basis for these procedures and guidelines has been the University of North Dakota Faculty Handbook (hereafter referred to as the Faculty Handbook) (1979, 1985, and 1998).

I. GENERAL PRINCIPLES AND RESPONSIBILITIES

Because the School of Medicine and Health Sciences (SMHS) and its faculty have some unique characteristics and responsibilities, there are portions of this document that differ from the Faculty Handbook. For all matters not dealt with in the enclosed documents, the Faculty Handbook should be used as the guide.

A. Faculty Responsibilities:

Each faculty member should be familiar with the Faculty Handbook, Section II-1.1 and the Committee on Promotion and Tenure (CPT) Guidelines on Promotion and Tenure (hereafter referred to as the *Guidelines*) for the SMHS.

B. Administrator Responsibilities:

The administrator should be familiar with Faculty Handbook and the Guidelines. **The University administrator should adhere to the following principles of democratic administration:**

- 1. Respect for individuals*
- 2. Faith in the power of human intelligence to solve problems*

3. *The right of each individual affected by policy formation or alteration to have an equitable part in the determination of that policy*
4. *The right to act through his or her chosen representatives*
5. *The right to equality of opportunity*
6. *The exercise of fairness*
7. *The right of each individual to appeal decisions and actions affecting him or her and the right of the individual to be informed of avenues of appeal*

In the exercise of these basic principles, the administrator should nurture an atmosphere of mutual trust and honesty based on good communication (Section II-1.2).

C. Departmental Responsibilities:

The Faculty Handbook, Section II-4, recognizes the uniqueness of individual faculty and the departments within which they serve by stating that the main responsibility for implementation of evaluation has been placed in the departments. Accordingly, departments in the SMHS will:

1. Develop procedures for evaluation of faculty for promotion, tenure and post-tenure performance according to the *Guidelines*.
2. Develop criteria and expectations of achievement for promotion from rank to rank, for the awarding of tenure, and for post-tenure performance.

Departmental criteria and expectations may be more rigorous but cannot be less rigorous than those described in the Faculty Handbook and *Guidelines*. Each department may establish its own standards for the awarding of tenure as long as they are in conformity with the State Board of Higher Education (SBHE) tenure policies, the University Constitution, Senate By-laws and recognized University-wide interpretations as recorded in the Faculty Handbook.

3. Submit departmental standards and criteria and expectations for promotion and tenure to the SMHS CPT for review and approval. Prior to submission, the standards and criteria must be approved by a majority vote of the department faculty members.

D. Committee on Promotion and Tenure (CPT) Responsibilities:

According to the Faculty Handbook as described in Section II-4, the Committee on Promotion and Tenure (CPT) will:

1. Develop policy and procedure in the form of *Guidelines* for conducting and reviewing recommendations of promotion and tenure requests of faculty of the SMHS.
2. Recommend policy on criteria and expectations and procedures for promotion and/or tenure of faculty for use by the departments of the school.
3. Approve all departmental standards for promotion and tenure of faculty to ensure a comparable process throughout the school.

4. Review and make recommendations to the Dean on all requests for tenure using only the criteria and expectations established by the submitting department.
5. Following the review by the department, review and make recommendations on promotion at the request of the faculty member, the department chair or the Dean using only the criteria and expectations established by the submitting department.
6. Review and make recommendations on promotion for faculty in the community title series upon appeal by the faculty member, the department chair or the Dean.
7. At the request of the Dean, review and provide counsel regarding the credentials of individuals for appointment within faculty title series and rank, especially with regard to senior-level appointments that may also involve tenure.

The CPT will define what materials and documentation are needed for tenure, promotion and pre-tenure and post-tenure evaluation. However, since CPT must base its recommendations solely upon the information supplied by the department, it is imperative that departments supply all necessary data and appropriate documentation. A fact cannot be assumed as known, if not stated.

It is critical that promotion and granting of tenure within the School be somewhat flexible because the unique needs of a community based medical education system involve individuals who bring widely varying backgrounds, philosophies, skills, opportunities and needs into an academic setting. Notwithstanding such uniqueness, tenure and promotions are to be based on the consistency and quality of:

- Performance in teaching
- Scholarly and creative activities, including distinctive, peer accepted contributions to one's discipline or profession
- Service to the department, the School of Medicine and Health Sciences, the University, and society.

Individual faculty contributions to each of these areas may vary somewhat within the confines of their written job description. However, it is essential that chairs and faculty alike be aware that excelling in only one aspect of academic responsibility may slow promotion (such as promotion from Assistant to Associate Professor) or may make promotion impossible (such as promotion from Associate to Professor).

E. Definition of Scholarship

We embrace the expanded view of scholarship proposed by Boyer (EL Boyer, *Scholarship Reconsidered: Priorities of the Professoriate*, Josey-Bass, 1990) that recognizes the reality that legitimate scholarly and creative pursuits encompass the scholarship of discovery (generating new knowledge through basic research), the scholarship of application (building bridges between theory and practice), the scholarship of integration (elucidating connections between different discoveries), and the scholarship of teaching (evaluating the effectiveness of pedagogical approaches in promoting student learning).

Because all SMHS faculty members are expected to engage in scholarly teaching it is important to distinguish this activity from the scholarship of teaching.

Certain characteristics and qualities define the essence of scholarship, whether in the area of teaching or other forms of scholarship and creative activity. The SMHS and its departments utilize the following criteria to define what we consider to be the essential characteristics of scholarship:

1. The faculty member's efforts result in a tangible product or output (hereafter referred to as "work");
2. The work is made public and is available outside of the institution and region;
3. The work is subjected to external peer review and critique by other scholars in the field; and
4. The work must be able to be reproduced and forms the foundation to be built on by other scholars.

II. FACULTY

A. Appointments

1. Academic Appointments

Faculty members with an academic appointment contribute to the mission of the University of North Dakota (UND) School of Medicine and Health Sciences (SMHS) and UND in **all three areas** of teaching, research or scholarly achievement and service. An academic appointment may be tenured, tenure-eligible or non-tenured. **All academic faculty members will participate in scheduled evaluations by their department whether considering promotion or not.**

Scientist Scholar

The Scientist Scholar designation is for faculty members with demonstrated excellence in the discovery and dissemination of new knowledge or new insights into existing knowledge and who are effective teachers and actively involved in academic or professional service.

Educator Scholar

The Educator Scholar designation is for faculty members with demonstrated excellence in teaching, educational leadership, curriculum development, providing faculty development and administration. Faculty members in this title series are engaged in scholarly and creative activities related to education or teaching in their discipline or area and are actively involved in academic or professional service.

Clinician Scholar

The Clinician Scholar designation is for faculty members who are involved in patient care, teaching, and administrative service as well as scholarship and creative activities that typically relate to these areas. They are also actively involved in academic or professional service.

Faculty members who actively contribute to the mission of the SMHS in **one or more primary area of teaching, scholarship or service** have an appointment that is non-tenured in the following series:

2. Clinical Appointments

The Clinical Faculty members are primarily clinicians who are or have been employed by regional health care systems or facilities. Their primary role is to contribute to the educational mission of the School although they may occasionally contribute to the service, scholarship and administrative missions as well.

3. Research Appointments

The Research Faculty members are dedicated to supporting the research mission of the school. Faculty in this series need not have established an independent reputation in research. These faculty members have a primary focus in research but may also contribute to other missions of the department.

4. Adjunct Appointments

Adjunct Faculty appointments are for individuals from business, industry, research institutions, government, or agencies; or who are located at other academic institutions who help fulfill the educational, research, or service missions of the UND SMHS. UND faculty or staff members who do not have a primary appointment at the SMHS may also be eligible for adjunct faculty appointment.

5. Joint Appointments

Joint appointments are made for faculty members with a primary appointment in one department or discipline at the SMHS or at the University who are actively contributing to the teaching or research mission of another department or discipline within the school or University.

6. Emeritus Appointments

Emeritus status can be conferred upon retirement or after retirement to faculty or senior administrators or professionals pursuant to institution policies and procedures. Criteria for emeritus status may include, but are not limited to, length of service to the institution, significant contributions to the institution and the State of North Dakota, or particularly distinguished service to an academic discipline. Emeritus status shall not include salary or other compensation or other rights, except privileges specified in institution policies or procedures.

B. Academic Appointment Rank

1. Recognized Ranks

Professor
Associate Professor
Assistant Professor
Instructor

2. Criteria for Rank

The candidate must meet the criteria of the department for the rank requested. Departmental criteria should meet, at least, the minimum standards of the University and SMHS for the rank requested.

3. Characteristics of Academic Rank

Listed below are characteristics of rank in the academic title series used for appointment or promotion to Instructor, Assistant Professor, Associate Professor and Professor. These are intended to be the standard criteria and are not intended to exclude qualified candidates who possess equivalent training.

Instructor

Education:

Earned Bachelor's degree or equivalent training

Experience:

Demonstrates potential as a teacher, researcher or both.

Engaged in professional development

Assistant Professor

Education:

Earned doctorate or other degree considered to be a terminal degree by the discipline, or significant clinical experience commensurate with a terminal degree.

Postgraduate training: **(This applies for associate professor and professor rank)**

Faculty members with the M.D. degree should have completed residency training to board eligibility, if appropriate.

Board certified in their discipline, if applicable.

Faculty members with the Ph.D. or other terminal degree will be expected to have completed postdoctoral training or equivalent experience, if appropriate to their area of specialization at the time of training.

Others should be eligible for professional certification in their fields, if such is available or applicable.

Experience:

Demonstrated experience in teaching **OR**

Demonstrated experience in scholarly and creative activity

Demonstrated departmental and professional or community service

Associate Professor

Education:

Earned doctorate

Postgraduate training: (see language in Assistant Professor)

Consistent and demonstrated effectiveness in teaching
Scholarly and creative activity of appropriate quality and quantity for time in rank
Local or regional recognition for scholarly activity
Consistent and substantial contributions and service to their department,
profession and school
Demonstrated professional and community service

Professor

The rank of Professor is awarded on the basis of documented recognition for continued superior performance and not simply on the basis of time in rank as Associate Professor.

Education:

Earned doctorate

Postgraduate training: (see language in Assistant Professor)

Experience:

Recognition for continued excellence in teaching
National or international recognition for continued scholarly activity of high quality and appropriate quantity
Demonstrated leadership and superior service contributions to the department, school and their profession
Recognized for professional and community service

C. Clinical Appointment Rank – Faculty with clinical appointments will always include the word “clinical” in their rank.

1. Recognized Ranks

Clinical Professor
Clinical Associate Professor
Clinical Assistant Professor
Clinical Instructor

2. Criteria for Rank

Individuals possessing appropriate degrees as defined by departments and willing to contribute to the mission of the School in one or more areas of teaching, scholarly activity and service are eligible for clinical rank.

3. Characteristics of Clinical Rank

Clinical Instructor

An individual without previously demonstrated teaching experience
Willing to spend up to 100 hours per year teaching

Clinical Assistant Professor

Board eligible or certified in their discipline, if applicable; post-degree experience, if applicable
Less than three (3) years teaching experience
Spends up to 100 hours per year teaching or engaged in scholarly activity

Clinical Associate Professor

Board certified (if applicable)
Three (3) or more years teaching or research experience
Demonstrates effective teaching
Plays important role in departmental teaching activities
Spends 100 hours or more per year teaching or engaged in scholarly activity

Clinical Professor

Board certified (if applicable)
Six (6) or more years teaching or research experience
Demonstrates effective teaching
Plays important role in departmental teaching or research and leadership activities
Spends 200 or more hours per year teaching or engaged in scholarly activity

D. Research Appointment Rank - Faculty with research appointments will always include the word “research” in their rank.

1. Recognized Ranks

Research Professor
Research Associate Professor
Research Assistant Professor

2. Criteria for Rank

Individuals possessing appropriate degrees whose primary area of emphasis is research and research-related activities of a basic science, social or population science or clinical science. The faculty member may participate in the educational activities of the department.

A Research Faculty person may be a member of either a science department or a clinical department.

3. Characteristics of Research Rank

Research Assistant Professor

Education:

Earned doctorate or other degree considered to be a terminal degree by the discipline

Postgraduate training: (This applies for associate professor and professor rank)

Faculty members with the M.D. degree should have completed residency training to board eligibility, if appropriate. Departments may, but are not mandated by this document to, require actual board certification.

Faculty members with the Ph.D. or other terminal degree will be expected to have completed postdoctoral training or equivalent experience, if appropriate to their area of specialization at the time of training.

Others should be eligible for professional certification in their fields, if such is available or applicable.

Experience:

Demonstrated ability in research.

Potential for effectiveness in departmental and professional service

Research Associate Professor

Education:

Earned doctorate or other degree considered to be a terminal degree by the discipline

Postgraduate training: (See Assistant Professor)

Experience:

Demonstrated record of excellence in research, either as a principal investigator or in support of a principal investigator

Demonstrated research productivity, i.e., publications including peer-reviewed articles and book chapters.

Effectiveness in departmental and professional service

Research Professor

Promotion to Professor is expected to occur on the basis of documented recognition for continued superior performance and not simply on the basis of time in rank as Associate Professor.

The individual must have demonstrated a leadership role in departmental activities and/or the professional discipline.

Education:

Earned doctorate or other degree considered to be a terminal degree by the discipline

Postgraduate training: (See Assistant Professor)

Experience:

Evidence of being an independent investigator with extramural funding and maintaining a research program of high quality and appropriate quantity

Recognition for continued contributions to their profession and school

Demonstrated research productivity, i.e., publications including peer-reviewed articles, book chapters and invited reviews.

E. Adjunct Appointment Rank - Faculty with adjunct appointments will always include the word “adjunct” in their rank.

1. Recognized Ranks

Adjunct Professor
Adjunct Associate Professor
Adjunct Assistant Professor
Adjunct Instructor

2. Criteria for Rank

Individuals possessing appropriate degree for their profession from an accredited institution and who can demonstrate ability in clinical activity, teaching or research, depending on the proposed role as an adjunct faculty member

3. Characteristics of Adjunct Rank

Adjunct Instructor

Earned Bachelor’s degree or equivalent training
Demonstrates promise as a teacher or researcher
Engaged in professional development

Adjunct Assistant Professor

Possession of a terminal degree for the profession
Demonstrated ability in clinical activity, teaching or research, depending on the proposed role as an adjunct faculty member

Adjunct Associate Professor

Sustained educational role in departmental educational activities in ONE or more of the following areas:

1. Direct teaching
2. Advising or mentoring
3. Learner assessment
4. Creation of educational materials

Demonstrated evidence, through peer and learner evaluation, of high impact and quality teaching in departmental educational or research programs

Local and regional recognition in the practice of clinical specialty (if applicable)

Local and regional recognition in research (if applicable)

Evidence of service on committees (such as department, medical school, and University committees)

Evaluations reflecting satisfactory performance by students, residents and other faculty members

Adjunct Professor

Demonstrated leadership roles in clinical activity, teaching or research, depending on the proposed role as an adjunct faculty member

Identification as a role model, teacher and leader in educational practices by learners, colleagues, and peers

Recognition of high impact, high quality, and excellence in educational activities in any of the following areas:

1. Direct teaching
2. Advising or mentoring
3. Learner assessment
4. Creation of educational materials

Evidence of leadership role in clinical practice in national and international specialty organizations

Evidence of service on committees (such as department, medical school, and University committees)

Evaluations reflecting satisfactory performance by students, residents, and other faculty members

National or international recognition for clinical care, clinical or basic research, education, and/or service

F. Joint Appointment

Joint appointments reflect the contribution of the faculty member to the SMHS department and may not be at the same rank as the appointment in the home department.

G. Emeritus Appointment

Emeritus title shall be the equivalent of the rank to which the faculty member was appointed prior to retirement.

III. FACULTY APPOINTMENTS IN THE ACADEMIC TITLE SERIES

A. Academic Title Series

There are two categories of employment contracts for full-time faculty in the academic title series that do not involve tenure:

Probationary contracts (tenure-track appointments)

Special contracts (non-tenure-track appointments)

Probationary contracts (tenure-track contracts) of the faculty of the SMHS will be based on two (2) criteria: source of funding and academic title. In order for a probationary contract to be issued, the School and/or department must have a funded position from state general fund appropriations available for that individual's tenured salary, but the salary at the time of employment may be funded from other sources.

Probationary contracts also must carry a probationary academic title (instructor, assistant professor, associate professor or professor). Failure to satisfy both of these conditions simultaneously prevents issuance of a probationary contract.

Both probationary and special contracts may lead to tenure; however, they differ as follows:

Probationary contracts may lead to a full-time tenured appointment after four (4) years. A probationary contract will not be granted for a period longer than six (6) years, under normal

circumstances. If tenure is not granted and a seventh-year contract is issued, it must be terminal, unless an extension has been granted.

Special contracts do not exclude a tenured appointment. Faculty employed under a special contract may be considered for tenure after six (6) years of full-time continuous service based upon two (2) following criteria:

1. The availability of fully funded salaries from state general fund appropriations assigned to an academic salary budget in the department to which the faculty member belongs.
2. The faculty member carries an academic title (instructor, assistant professor, associate professor or professor) in that department.

Faculty who are appointed all or in part out of non-appropriated ("soft") funds may have full academic title and may be employed on a probationary (tenure-track) contract if an unfilled state general appropriated funded position is available in the school and/or department. If such a funded position is not available, it would be expected that the faculty member would be employed under a special contract.

B. Non Academic Title Series

The following types of special appointments do not involve tenure credit: adjunct appointments, community title series, research title series, visiting appointments, cooperative teachers, supervisors, temporary postdoctoral appointments, resource colleagues, appointments of retired faculty, any initial appointment funded wholly or partially by other than state general funds, appointments clearly limited to a temporary association of normally no more than three (3) years, special titles, lectureship appointments.

IV. FACULTY EVALUATIONS

Faculty evaluations will be conducted in accordance with the guidelines established by the University, the SMHS and by the evaluating department, keeping in mind the uniqueness of individual responsibilities and departmental missions. Faculty evaluations shall occur at the time of initial SMHS appointment, periodically as specified below, at the time of proposed promotion, and at the time of proposed awarding of tenure.

Procedures and guidelines for the evaluation of tenure-track and non-tenure-track faculty are established to provide the means whereby the performance of individual faculty members may be equitably assessed and documented.

Evaluation instruments are the means whereby information is gathered to provide a basis for evaluation. They do not constitute an evaluation in themselves. "Evaluation" in terms of this document is the process whereby the information acquired by evaluation instruments, i.e., peer and student evaluations, administration and external comments, etc. are analyzed and evaluated to determine the quality of performance by an individual faculty member as measured against the criteria and objectives set by the department.(Section II-4)

The major purpose of evaluation should be to help the faculty improve their performance. *The primary objective of faculty evaluation is to improve the quality of the faculty. (Section II-8.1.1)* Although formal evaluations are required at specific times, informal evaluations should be available continuously as the need is perceived. An evaluation should commend faculty for outstanding performance and/or encourage faculty to strengthen weaknesses as well as improve in already strong areas. In the case of post-tenure reviews, identification of performance that falls below the minimal acceptable level shall be used as cause for professional development, assistance, career guidance, or remediation of the faculty rather than for applying punitive actions.

The results of the formal evaluation process will become part of the information used in making promotion, retention and tenure decisions.

Composition of Committee

Evaluations will be carried out by a departmental committee; the committee's recommendation will be forwarded to the department chair, who will write an independent evaluation of the faculty member.

The departmental committee will include all tenured faculty members in the department, excluding the chair. The committee must consist of a minimum of three faculty members, and all committee members must hold senior-level rank (i.e., associate professor or professor). In the event that fewer than three senior-level faculty members reside in a department, senior-level non tenured or tenured faculty members will be recruited from other suitable departments. Outside faculty members must be approved by a majority vote of the departmental faculty.

For those evaluations that involve a tenure recommendation, the departmental committee will include all tenured faculty members in the department, excluding the chair, and must consist of a minimum of three tenured faculty members. In the event that fewer than three tenured faculty members reside in a department, tenured faculty members will be recruited from other suitable departments. Outside faculty members must be approved by a majority vote of the departmental faculty.

In addition to departmental faculty members, departments may also choose to include outside faculty members in their evaluation committees, but such additional members must be at the level of associate professor or professor and approved by a majority vote of the departmental faculty members.

Community Faculty Title Series

Evaluations will only be conducted upon request for promotion within this title series.

Research Faculty Title Series

Evaluations will only be conducted upon request for promotion within this title series.

V. DEPARTMENTAL STANDARDS

Departmental standards will include the following elements for evaluating faculty:

A clear statement informing individual faculty members as to the method by which they will be evaluated
The timetable for evaluations

An individual's evaluation schedule will be calculated from the July 1st nearest to the faculty member's official start date.

A statement about the use, confidentiality, and disposition of the evaluation documents, including provisions for their review and use by the Dean and CPT in deliberations on such matters as promotion, retention, tenure and due process (Section II-8.1.1).

A provision for using student input in the evaluation
The procedure followed for informing individual faculty members about the results of evaluations

Faculty will be evaluated in the areas of teaching, scholarly and/or creative activity, and professional and community service. The contribution of individual faculty members to each area will be mutually agreed upon by the departmental chair and individual faculty member and reflected in the percentage of effort form submitted annually. For evaluation purposes, the percentage of effort forms will be taken into consideration in weighing the importance of each area to the overall evaluation.

Documentation in the areas of teaching, scholarly and/or creative activity, and professional and community service shall be according to the criteria established for promotion (*Guidelines*, Section VI.).

A. Schedule for Evaluation of Faculty

Academic Title Series Faculty

Academic Title Series Non-tenured faculty (This includes faculty on both probationary and special contracts).

Evaluation of probationary appointees shall be conducted early the second semester of their first year, and toward the end of their third semester so that there will be a reasonable basis for decisions to reappoint in accordance with the schedule in the North Dakota State Board of Higher Education Regulations on Academic Freedom and Tenure; Academic Appointments.

Evaluation of probationary appointees shall also be conducted during the second semester of their third, fourth and fifth year and during the Fall semester of their sixth year. For persons hired at mid-year, the half year of service shall count as a full year toward tenure. Evaluation of tenured faculty shall be conducted at least every three years. (Section II-8.1.1.)

Evaluations of non-tenured faculty on probationary contracts during years one (1), two (2) and four (4) of service are for departmental use only. To ensure completion of the evaluations, a

memo signed by the chair of the department and the faculty member indicating the evaluation date and a brief summary of the conclusions shall be submitted to the Office of Academic Affairs. No action by the CPT is necessary for these evaluations.

Evaluations of non-tenured faculty on probationary contracts during years three (3), five (5) and six (6) shall be submitted to the Office of Academic Affairs for review by the CPT.

The final evaluation of non-tenured faculty on probationary contracts shall be completed by the departments and submitted to the Office of Academic Affairs by November 15th of their sixth year.

The evaluation of non-tenured faculty on Special contracts shall occur annually until the faculty member is promoted to associate professor or until the sixth year of appointment. Thereafter the evaluation shall be conducted every three years, as is the case for tenured faculty. Evaluations are for departmental use only. To ensure completion of the evaluations, a memo signed by the chair of the department and the faculty member indicating the evaluation date and a brief summary of the conclusions shall be submitted to the Office of Academic Affairs. No action by the CPT is necessary for these evaluations.

Evaluations may be conducted at other times, if circumstances require it, as determined and requested by either the individual faculty member, the department chair or the Dean.

After promotion to associate professor or continuous appointment for six years, evaluations of non-tenured faculty on Special contracts in the academic title series shall be conducted at three (3) year intervals and are for departmental use only. To ensure completion of the evaluations, a memo signed by the departmental chair and the faculty member indicating the evaluation date and a brief summary of the conclusions shall be submitted to the Office of Academic Affairs.

If a department requests to move a faculty member on a Special contract to a probationary contract, the materials listed in Guidelines IV.D. shall be submitted to the Office of Academic Affairs for review by the CPT.

Academic Title Series Tenured Faculty

The evaluation of tenured faculty shall be conducted every three (3) years after their appointment with tenure. Evaluations of tenured faculty shall be submitted to CPT for review every six (6) years. Evaluations conducted at alternate three (3) year intervals are for departmental use only.

Evaluation may be conducted at other times, if circumstances require it, as determined and requested by either the individual faculty member, the department chair or the Dean.

In the event that substantial chronic deficiencies are identified in the performance of a tenured faculty member, the faculty member and departmental CPT shall formulate a professional development plan. The faculty member and departmental CPT will annually review progress on the plan and send a progress report to the departmental chair and Dean.

The professional development plan shall identify problem areas or weaknesses, state goals for addressing weaknesses, describe actions to be taken on the part of the faculty member to achieve goals, identify resources and/or allocations necessary to support the development plan, specify

criteria for assessment, specify a timeline for implementation (minimum 3 years), describe the process for preparing progress reports, and outline possible courses of action in the event the professional development plan is not successfully completed.

Community Title Series Faculty

Faculty members in the Community Faculty title series at the level of assistant professor will be evaluated every year for the first six years of their appointment and every third year thereafter. Clinical associate professors and clinical professors will be evaluated every third year. However, evaluations will be submitted to CPT only if requested by the individual faculty member, departmental chair or the Dean.

Formal evaluations are conducted upon request for promotion within this title series or transfer to the Academic Title series.

Research Title Series Faculty

Faculty members in the Research Faculty title series at the level of research assistant professor will be evaluated every year for the first six years of their appointment and every third year thereafter. Research associate professors and research professors will be evaluated every third year. However evaluations will be submitted to CPT only if requested by the individual faculty member, departmental chair or the Dean.

Formal evaluations by the CPT are conducted upon request for promotion within this title series or transfer to the Academic Title series.

B. Evaluation Process

At the time of initial appointment, faculty shall be informed by the department chair of the criteria for evaluation and objectives set by the department. Failure to provide these documents to new faculty at the time of initial appointment will jeopardize the faculty member's due process.

According to the Faculty Handbook, faculty members will be evaluated based on departmental criteria in place and objectives set at the time of their initial appointment. Faculty shall be informed promptly in writing and given adequate notice whenever there is a change made in those criteria by the department. Contract provisions shall be reviewed and, when appropriate, objectives may be revised as a part of the faculty member's periodic evaluations.

It shall be the responsibility of the department chair to initiate evaluations at the appropriately scheduled intervals.

Evaluation materials submitted to the Office of Academic Affairs shall include:

- Job description and Percentage of Effort forms for each year of employment
- A current curriculum vitae
- Documentation of activities in teaching, scholarly activity, and professional and community service

Summary of findings and recommendations by the departmental evaluating committee
Summary of findings and recommendations by the departmental chair.

C. Routing for Approval

The department chair initiates the evaluation process by submitting the candidate's name and supporting documents to the departmental CPT. The departmental committee will submit its report to the chair. The chair will submit the departmental evaluation, his/her own letter of evaluation, and additional documentation to the Office of Academic Affairs. The Office of Academic Affairs will distribute the materials to the CPT, according to the evaluation schedule.

The faculty member being evaluated will be informed in writing of the results of the evaluation by the departmental committee, the departmental chair, the CPT and the Dean, as appropriate.

D. Appeal

All formal appeals of evaluation shall be made in accordance with the same "due process" procedures as provided for in cases of non renewal of probationary faculty in the North Dakota State Board of Higher Education Regulations on Nonrenewal, Termination or Dismissal of Academic Staff (Academic Freedom, Tenure and Due Process (Section II-8.1.1)).

VI. PROMOTION

*Promotions in rank are initiated by a written recommendation from the department chairs to the dean of their college or school. This recommendation must include a thorough evaluation of the qualifications of the candidate. This evaluation must take into account, and speak with reference to, the tenure plan or plans under which the candidate has served, specifying the candidate's duties and goals, identified by the candidate's contract(s) as required by Board of Higher Education Policy Manual §605.1 Subpart 3 b. (1) and (2). Recommendations are then submitted to Vice President for Health Affairs and Dean. Prior to a final review, the Dean obtains additional evaluations from the Committee on Promotion and Tenure. **Recommendations are then forwarded to the President. In accordance with State Board Policy 305.1.3.d, the President will approve or disapprove the recommendation (Section II-5.2).***

Promotions are regarded as recognition and reward for academic attainment in three areas: teaching, scholarly and/or creative activity and service, including distinctive contributions to one's discipline, profession and school. It is recognized that special contributions to one particular area of his/her job responsibilities may limit the time and talent commitments that a faculty member might give to other areas. Therefore, it is not necessarily expected that each faculty member should demonstrate outstanding accomplishments in all of the areas. However, it is essential that chairs and faculty members understand that promotion, particularly to the academic ranks of associate professor and professor, will ordinarily occur only if 1) outstanding accomplishment is achieved in at least one of the areas, 2) at least high accomplishment is achieved in a second area and 3) at least good accomplishment is achieved in the third area. The relative importance of each area shall be determined by the Department and included in their "Departmental Guidelines" document. Performance expectations generally should match the effort that the faculty member expends in each of the activity areas (as reflected in the faculty

member's Percentage of Effort Form), with the best performance expected in the area(s) where the faculty member devotes the majority of his/her time.

Because departments within the School have diverse missions and responsibilities, recommendations for promotion by the departmental chair, CPT, and the Dean must be consistent with the criteria established by the awarding department. Individual performance of faculty members should be judged in the context of resources and time made available to the faculty member to accomplish the goals as specified in his/her tenure plan.

Promotion reviews will take place in the Fall semester. When a faculty member is being reviewed for tenure and promotion during the same academic year, recommendations at all levels are to be made simultaneously but on appropriate forms, and care is to be taken that appropriate forms are forwarded to the various advisory bodies. The faculty member being reviewed for promotion and tenure in the same academic year may submit the same supporting materials for both processes (Section II-5.3.B.3.).

Consideration for promotion to associate professor and the awarding of tenure ordinarily will occur at the same time and in the same academic year. Only under unusual circumstances will promotion and the awarding of tenure occur in different years.

A. Promotion Criteria

Academic Title Series

This title series includes the Basic Scientist Scholar, Educator Scholar and Clinician Scholar. The characteristics for academic rank are listed in Section II.B.3. of this document. The criteria for promotion in the areas of scholarly and creative activity, teaching and service and how they can be documented are listed below:

Basic Scientist Scholar

Scholarly and Creative Activity

Documentation of scholarly activity in the form of research and creative work is essential for promotion to the higher academic ranks of associate and full professor. These accomplishments should be evaluated, not merely enumerated. The discipline of the candidate should be taken into account in assessing productivity since the number of publications and journals are discipline specific. There should be evidence that the candidate is continuously and effectively engaged in peer reviewed and accepted scholarly and/or creative activity of high quality and significance.

Following are examples of scholarly and creative activity:

- Laboratory research and publication
- Field research and publication
- Presentation/participation at local, regional, and national conferences
- Textbook writing and publication
- Grant writing and approval

Effective and/or creative activity in this area should be documented and not just simply listed. It is the responsibility of each department to identify how accomplishment in this area is to be measured.

Teaching

Effective teaching is an essential criterion for promotion. Evidence for effective and/or creative teaching must be well documented and must be included in evaluations for promotion and tenure.

Such evidence must include student evaluations, and if applicable, written statements or evaluations by immediate supervisor or colleagues, or some indication that teaching contributions have been incorporated into the curriculum or design of the curriculum.

Following are examples of a commitment to teaching:

- Curriculum development and or/course design
- Curriculum Delivery
 - Lectures
 - Laboratory experiences
 - Seminars
 - Group Facilitating
 - Clinical or Fieldwork experiences
 - Demonstration of skills, techniques, etc.
 - Tutorials
 - Discussion leadership

Service

Professional and community service and contributions to society must be in the area of one's professional discipline but not necessarily confined to University related activities.

Following are examples of activities considered under this category:

- Professional Services
 - Membership in professional societies and/or offices held
 - Membership in study sections or ad hoc grant reviews
 - Membership on editorial boards
 - Review of professional journal manuscripts or book chapters
 - Service on accreditation committees
 - Consultation (industry, education, or government)
- Student services
 - Academic advising including service on graduate committees
 - Special counseling
 - Advising student organizations

Screening of applicants

Faculty service

- Advising and counseling
- Assisting in career development
- Faculty development

Administrative service

- Departmental committees
- SMHS committee
- Campus-wide or university-wide committees
- State, national, and international committees
- Administrative offices
- Hospital committees

Community service

- Speaking to lay groups from the perspective of professional area of expertise
- Giving professional assistance to committees, agencies or institutions

CRITERIA FOR APPOINTMENT/PROMOTION

SCIENTIST SCHOLAR

	ASSISTANT PROFESSOR	ASSOCIATE PROFESSOR	PROFESSOR
TEACHING	For appointment/promotion to ASSISTANT PROFESSOR, the faculty member must have potential for, or evidence of, active and effective teaching in the education of undergraduates, medical students, graduate students, and/or other trainees.	For appointment/promotion to ASSOCIATE PROFESSOR, the faculty member must have made a substantial contribution to the teaching mission of the School with a demonstrated record of excellence in the education of undergraduates, medical students, graduate students, and/or other trainees.	For appointment/promotion to PROFESSOR, the faculty member must have made a substantial commitment to the teaching mission of the School with a demonstrated record of continued excellence in the education of undergraduates, medical students, graduate students, and/or other trainees.
SCHOLARLY & CREATIVE ACTIVITY	For appointment/promotion to ASSISTANT PROFESSOR, the faculty member must have significant formal research training and a strong potential for independent funding. The faculty member should have evidence of contributions to, or author of refereed, substantive publications in respected journals.	For appointment/promotion to ASSOCIATE PROFESSOR, the faculty member must demonstrate a record of excellence in research and scholarly activity and have demonstrated success in obtaining extramural funding with the likelihood for continued funding through extramural agencies. The faculty member should have a significant publication record in peer reviewed journals in accordance with the discipline and demonstrate independence from senior scientific mentors.	For appointment/promotion to PROFESSOR, the faculty member must have substantial and regular independent funding from extramural sources with the expectation of future funding and national, international recognition for scholarly activity. The faculty member should have continued publication record of outstanding, original and innovative research findings.
SERVICE	For appointment/promotion to ASSISTANT PROFESSOR, the faculty member must have potential for, or evidence of, departmental service and demonstrate potential for service at the level of the School and/or University.	For appointment/promotion to ASSOCIATE PROFESSOR, the faculty member must demonstrate active and substantial participation in service activities for the Department, the School and the University and to the faculty member's profession.	For appointment/promotion to PROFESSOR, the faculty member must have made a substantial contribution to service at all university levels, demonstrated excellence in service as required for the Associate Professor, and provide documented evidence of recognition for service to his/her profession.

Educator Scholar

Scholarly Activity

While not all educator scholars are engaged in pedagogical or other types of research, all are expected to demonstrate evidence of scholarship (see definition of scholarship in Section IE). Such scholarship may take various forms, and the particular types of scholarly works may vary by discipline. Regardless of the way scholarship is demonstrated, it is essential that there is evidence that the scholarly works are thoughtful, analytical, publicly available, peer-reviewed, and potentially applicable elsewhere.

Following are examples of scholarly and creative activity appropriate for the Educator Scholar:

Educational innovation and curriculum development

Documentation should provide evidence of significant improvements in a block/course/clerkship/program.

The following are examples of some of the acceptable forms of scholarly activity in educational innovation and curriculum development:

- Case authorship - Authorship or major contribution to development of case(s) in a course, clerkship, or residency, e.g., PCL case author or substantial contribution to PCL case(s), Computer case(s), and/or Clinical exercises
- Authorship of computer-assisted instructional programs
- Authorship of freestanding audiovisual materials for instruction
- Design and development of new blocks/courses/clerkships/ programs or substantial modification (major revision) of existing blocks/courses/clerkships/programs

Educational evaluation and research

Documentation should provide evidence of substantial contributions in educational research or educational evaluation. A variety of different activities must be documented in order to establish sufficient breadth and depth of contributions in this area.

The following are examples of some of the acceptable forms of scholarly activities in educational evaluation and research:

- Publication of manuscripts in educational research and evaluation
- Publication of books or book chapters
- Substantial contributions to education research and evaluation through grant and/or contract activity
- Course/block/clerkship assessment

Professional development/faculty advancement in education

Documentation should provide evidence of growth of one's own educational knowledge/skills and a contribution to the educational development of other faculty.

Evidence of significant participation in self-improvement seminars, meetings related to medical education and conducting faculty development workshops on educational topics.

The following are examples of some acceptable forms of scholarly activity in professional development/ faculty advancement in education:

Participation in education conference sessions(e.g., presentations/attendance at regional or national medical and health science education meetings, such as the annual meeting of the Association of American Medical Colleges, attendance at a teaching skills conference, etc.).

Participation in education workshops (e.g., presentations/attendance at a PCL facilitation workshop, attendance at a test item writing workshop).

Participation in education grand rounds (e.g., presentations/ attendance at a grand rounds specifically devoted to the enhancement of teaching, educational evaluation, educational research, etc.).

Teaching

High to outstanding teaching is an essential criteria for promotion and must be well documented. Documentation should provide evidence of sustained quality, quantity, creativity and diversity of direct instruction and/or mentoring throughout the educational program. Teaching need not be restricted to formal classroom activity but should indicate that the teaching effort produced a definite or desired result. Such evidence may include student evaluations, written statements by immediate supervisor or colleagues or some indication that teaching contributions have been incorporated into the curriculum or design of the curriculum.

The following indicate some of the acceptable forms of a commitment to teaching:

Teaching by multiple methods (lecture, seminar, facilitation, tutoring, and workshop).

Teaching in multiple courses/clerkships/programs.

Teaching at multiple levels (undergraduate, graduate, medical, resident, or peer).

Mentoring of fellows, graduate students, residents, undergraduate students, advisees, and/or research assistants.

Directing graduate student research and/or scholarly activity through completion of a master's or doctoral degrees.

Conduct faculty development presentations, workshops, or grand rounds regarding education (e.g., conduct workshops for colleagues on patient-centered learning, clinical teaching, test item writing, etc.)

Service

Professional and community service and contributions to society must be in the area of one's professional discipline but not necessarily confined to University related activities.

Professional Services

- Membership in professional societies and/or offices held
- Membership in study sections or ad hoc grant reviews
- Membership on editorial boards
- Review of professional journal manuscripts or book chapters
- Service on accreditation committees
- Consultation (industry, education, or government)

Student services

- Academic advising
- Special counseling
- Advising student organizations
- Screening of applicants

Faculty service

- Advising and counseling
- Assisting in career development
- Faculty development

Administrative service

- Departmental committees
- School of Medicine & Health Sciences committees
- Campus-wide or university-wide committees
- State, national, and international committees
- Administrative offices
- Hospital committees
- Course/block/clerkship/residency/graduate program coordinator/director

Community service

- Speaking to lay groups from the perspective of professional area of expertise
- Giving professional assistance to committees, agencies, or institutions

**CRITERIA FOR APPOINTMENT/PROMOTION
EDUCATOR SCHOLAR**

	ASSISTANT PROFESSOR	ASSOCIATE PROFESSOR	PROFESSOR
TEACHING	For appointment/promotion to ASSISTANT PROFESSOR, the faculty member must have potential for, or evidence of, active and effective teaching in the education of undergraduates, medical students, graduate students, and/or other trainees.	For appointment/promotion to ASSOCIATE PROFESSOR, the faculty member must have made a substantial contribution to the teaching mission of the School with a demonstrated record of excellence in the education of undergraduates, medical students, graduate students, and/or other trainees.	For appointment/promotion to PROFESSOR, the faculty member must have made a substantial commitment to the teaching mission of the School with a demonstrated record of continued excellence in the education of undergraduates, medical students, graduate students, and/or other trainees..
SCHOLARLY & CREATIVE ACTIVITY	For appointment/promotion to ASSISTANT PROFESSOR, the faculty member must demonstrate a commitment to an evidence-based approach, and show the potential to engage in the scholarship of teaching. Although not required, it is desirable that the faculty member has evidence of contributions to refereed publications in appropriate journals.	For appointment/promotion to ASSOCIATE PROFESSOR, the faculty member must demonstrate a record of scholarly activity. The faculty member should have a publication record in peer reviewed journals or equivalent evidence of scholarly activity in accordance with the discipline, and demonstrate independence from senior mentors. There must be some evidence of peer recognition as an academic professional at the regional (i.e., at least at the state level) and/or national level.	For appointment/promotion to PROFESSOR, the faculty member must have a sustained record of substantial scholarly productivity, ordinarily manifested by a continued publication record of outstanding, original and innovative findings. Although desirable, a record of substantive peer reviewed or other types of funding is not required. There must be clear evidence of a national and/or international reputation of academic excellence, ordinarily manifested by participation in national and/or international organizations.
SERVICE	For appointment/promotion to ASSISTANT PROFESSOR, the faculty member must have potential for, or provide evidence of, departmental service and demonstrate potential for service at the level of the School and/or University.	For appointment/promotion to ASSOCIATE PROFESSOR, the faculty member must demonstrate active and substantial participation in service activities for the Department, the School and the University and to the faculty member's profession.	For appointment/promotion to PROFESSOR, the faculty member must have made a substantial contribution to service at all university levels, demonstrated excellence in service as required for the Associate Professor, and provide documented evidence of recognition for service to his/her profession.

Clinician Scholar

The Clinician Scholar track recognizes faculty with an important commitment to active participation in the development, deliverance and oversight of the health sciences curricula, patient care, as well as sharing his/her clinical practice for the purpose of pre- and postdoctoral training. The types of scholarly activity may include clinical research, basic science research, or educational research. The level of scholarly activity expected for faculty in the Clinician Scholar track will be determined according to departmental guidelines.

Teaching

Effective teaching in formal classroom and clinical settings is an essential criterion for promotion. Evidence for effective and/or creative teaching must be well documented. Such evidence must include student or resident evaluations and written statements by immediate supervisors or colleagues.

The following lists some acceptable forms of teaching effectiveness:

- Curriculum development and/or course design
- Curriculum delivery
 - Lectures, Grand Rounds
 - Laboratory experiences
 - Seminars
 - Group Facilitating
 - Clinical or Fieldwork experiences
 - Demonstration of skills, techniques, etc.
 - Tutorials
- Discussion leadership
- Participation in Residency Programs
- Outpatient and/or inpatient bedside teaching

Scholarly and Creative Activity

A measurable level of scholarly activity is expected for promotion for individuals in the Clinician Scholar series. The level and type of scholarly activity expected from faculty will be determined by the department. Examples of suitable scholarly activity include the following:

- Publication of clinical observations, reviews, case reports in peer reviewed journals
- Development of teaching materials including curriculum materials, educational programs, textbooks, manuals, computer programs, or audiovisual resources
- Teach or provide leadership in continuing education
- Clinical and/or basic research published in peer reviewed journals
- Grant writing and approval

Service

It is expected that all faculty members holding rank in the Clinician Scholar series demonstrate service contributions of two types: direct patient care and professional and community service not directly related to the provision of health care.

Effective patient care is essential for promotion in this series.

Examples of appropriate evidence are listed below:

- Board eligibility or certification or equivalent
- Clinical practice adhering to regional “standard of care”
- Recognition by peers and patients as an outstanding clinician, i.e., regional referrals, patient surveys

The following are examples of professional and community service activities considered under this category:

Professional Services

- Membership in professional societies and/or offices held
- Membership in study sections or ad hoc grant reviews
- Case reviews
- Membership on editorial boards
- Review of professional journal manuscripts or book chapters
- Service on accreditation committees

Student services

- Academic advising
- Special counseling
- Advising student organizations
- Screening of applicants

Faculty service

- Advising and counseling
- Assisting in career development
- Faculty development

Administrative service

- Departmental committees
- School of Medicine & Health Sciences committees
- Campus-wide or university-wide committees
- State, national, and international committees
- Administrative offices
- Hospital committees
- Course/block/clerkship/residency/graduate program coordinator/director

Community service

- Speaking to lay groups from the perspective of professional area of expertise
- Giving professional assistance to committees, agencies, or institutions

**CRITERIA FOR APPOINTMENT/PROMOTION
CLINICIAN SCHOLAR**

		ASSISTANT PROFESSOR	ASSOCIATE PROFESSOR	PROFESSOR
TEACHING		For appointment/promotion to ASSISTANT PROFESSOR, the faculty member must show potential for excellence in teaching students and/or other trainees. The faculty member should also show a potential for contributing to curriculum and/or program development.	For appointment/promotion to ASSOCIATE PROFESSOR, the faculty member must demonstrate active and continuing involvement in the education of students and/or other trainees with a demonstrated record of excellence in teaching. The faculty member must document a significant contribution to curriculum and/or program development.	For appointment/promotion to PROFESSOR, the faculty member must demonstrate a leadership role in the education of students and/or other trainees with recognition for excellence in teaching. The faculty member must document a leadership role in curriculum and/or program development.
	SCHOLARLY & CREATIVE ACTIVITY	For appointment/promotion to ASSISTANT PROFESSOR, the faculty member should be involved in the dissemination of clinical knowledge, techniques, and technology through scholarly publications, computer based material or professional communications. A potential for scholarly activities such as clinical observations, case reports, original articles, reviews, chapters, and/or extramural funding should be demonstrated.	For appointment/promotion to ASSOCIATE PROFESSOR, the faculty member must demonstrate some evidence of continuing scholarly activity including the publication of clinical observations, case reports, original articles, reviews, chapters, and/or success in obtaining extramural funding.	For appointment/promotion to PROFESSOR, the faculty member must demonstrate a substantial record of scholarly activity including the publication of clinical observations, case reports, original articles, reviews, chapters, and/or success in obtaining extramural funding.
SERVICE	PROFESSIONAL SERVICE	For appointment/promotion to ASSISTANT PROFESSOR, the faculty member should demonstrate the potential for a high level of clinical and/or scientific competence as evidenced by membership and participation in professional societies, leadership roles in the department, hospital or both. The clinician should document participation in faculty development and Continuing Medical Education courses. The faculty member must provide evidence of departmental service and demonstrate potential for service at the level of the School and/or University.	For appointment/promotion to ASSOCIATE PROFESSOR, the faculty member should document a high level of clinical and/or scientific competence as evidenced by membership and participation in professional societies, leadership roles in the department, hospital or both. The faculty member must demonstrate active and substantial participation in service activities for the Department, the School, and the University and to the faculty member's profession.	For appointment/promotion to PROFESSOR, the faculty member should show recognition for service to the academic and professional community. The faculty member should demonstrate leadership roles in professional societies as well as in service activities at the Department, School, and University levels.
	PATIENT CARE	For appointment/promotion to ASSISTANT PROFESSOR, the faculty member must demonstrate potential for recognition by peers and patients as an outstanding clinician.	For appointment/promotion to ASSOCIATE PROFESSOR, the faculty member must demonstrate an emerging regional reputation for excellence in clinical practice.	For appointment/promotion to PROFESSOR, the faculty member must demonstrate a regional or national reputation for excellence in clinical practice and as an authority in a clinical field.

Research Rank

The major criterion for promotion of Research Faculty is research productivity. Teaching and service activity, which is to be negotiated between the faculty member and department chair, will be considered towards promotion but is not required.

Documentation of research productivity in the form in peer-reviewed publications and accepted scholarly and/or creative activity of high quality and significance is essential for promotion to associate and full professor. These accomplishments should be evaluated, not merely enumerated. The discipline of the candidate should be taken into account in assessing productivity since the number of publications and journals are discipline specific. There should be evidence that the candidate is continuously and effectively engaged in acceptable scholarly activity.

Following are examples of the acceptable scholarly activity:

- Grant writing and approval
- Laboratory research and publication
- Field research and publication
- Textbook writing and approval

It is the responsibility of each department to identify how accomplishment in this area is to be measured

CRITERIA FOR APPOINTMENT/PROMOTION

RESEARCH FACULTY

	ASSISTANT PROFESSOR	ASSOCIATE PROFESSOR	PROFESSOR
SCHOLARLY & CREATIVE ACTIVITY	For appointment/promotion to RESEARCH ASSISTANT PROFESSOR, the faculty member must have demonstrated ability to conduct research and potential for establishing an extramural funded research program with extramural funding.	For appointment/promotion to RESEARCH ASSOCIATE PROFESSOR, the faculty member must have evidence of major involvement in an extramural funded research program of high quality and significance. The faculty member should have a significant publication record in peer reviewed journals.	For appointment/promotion to RESEARCH PROFESSOR, the faculty member must have achieved recognition for scholarly activities including independent extramural funding, continued publication of high quality manuscripts in peer reviewed journals, and evidence of continued research productivity.

Community Faculty

Patient Care

Effective patient care is essential for promotion in this series.

Examples of appropriate evidence are listed below:

Evidence of a high level of clinical competence of regional referral
Board eligibility or certification or equivalent
Clinical practice adhering to regional “standard of care”
Recognition or potential for recognition by peers and patients as an outstanding clinician

Teaching

Effective teaching in formal classroom and clinical settings is an essential criterion for promotion. Evidence for effective and/or creative teaching must be well documented. Such evidence must include student or resident evaluations and written statements by immediate supervisors or colleagues.

The following lists some acceptable forms of teaching effectiveness

Curriculum development and/or course design
Curriculum delivery
 Lectures, Grand Rounds
 Laboratory experiences
 Seminars
 Group Facilitating
 Clinical or Fieldwork experiences
 Demonstration of skills, techniques, etc.
 Tutorials
 Discussion leadership
 Participation in Residency Programs
 Outpatient and/or inpatient bedside teaching

Service

Professional and community service and contributions to society must be in the area of one’s professional discipline but not necessarily confined to University related activities.

The following are examples of activities under this category:

Professional Services
 Membership in professional societies and/or offices held
 Membership in study sections or ad hoc grant reviews
 Case reviews

- Membership on editorial boards
- Review of professional journal manuscripts or book chapters
- Service on accreditation committees

Student services

- Academic advising
- Special counseling
- Advising student organizations
- Screening of applicants

Faculty service

- Advising and counseling
- Assisting in career development
- Faculty development

Administrative service

- Departmental committees
- School of Medicine & Health Sciences committees
- Campus-wide or university-wide committees
- State, national, and international committees
- Administrative offices
- Hospital committees
- Course/block/clerkship/residency/graduate program coordinator/director

Community service

- Speaking to lay groups from the perspective of professional area of expertise
- Giving professional assistance to committees, agencies, or institutions

Scholarly and Creative Activity

A measurable level of scholarly activity is expected for promotion for individuals in the Clinician Scholar series. The level and type of scholarly activity expected from faculty will be determined by the department.

Examples of suitable scholarly activity include the following:

- Publication of clinical observations, reviews, case reports in peer reviewed journals
- Development of teaching materials including curriculum materials, educational programs, textbooks, manuals, computer programs, or audiovisual resources
- Teach or provide leadership in continuing education
- Clinical and/or basic research published in peer reviewed journals
- Grant writing and approval

CRITERIA FOR APPOINTMENT/PROMOTION

COMMUNITY FACULTY

ASSISTANT PROFESSOR	ASSOCIATE PROFESSOR	PROFESSOR
For appointment/promotion to CLINICAL ASSISTANT PROFESSOR, the faculty member shall have the appropriate terminal or professional degree and at least three subsequent years of relevant professional experience or training. Normally, board certification is required.	For appointment/promotion to CLINICAL ASSOCIATE PROFESSOR, the faculty member shall document excellence in patient care and at least a high level of achievement in at least two of the following areas: teaching, scholarship/creative activities or other professional achievements or service to the department, the School, or the profession.	For appointment/promotion to CLINICAL PROFESSOR, the faculty member shall document excellence in patient care and excellence in at least one of the following additional areas: teaching, scholarship, other professional achievements or service to the department, the School, or the profession.

B. Procedure for Promotion

The faculty member desiring the promotion, the department committee, or the department chair can initiate a request for promotion. Because of the close and frequent professional association between the faculty member and the department chair, appropriate consideration should be given to the chair's recommendation at all stages of the reviewing process. If the recommendation is negative, the faculty member must be informed in writing by the department chair of the basis for the recommendation.

In addition to the procedure described above, eligibility for promotion will be reviewed for instructors in their fourth year in rank, assistant professors in their sixth year in rank and associate professors in their seventh year in rank whenever promotion to the next rank has not been recommended earlier. The time periods specified are not intended to indicate normal or usual time spent in a particular rank prior to promotion. Promotion may occur at an earlier time; however, promotion after less than three years in rank will require clearly superior performance in all areas and/or unique circumstances. The criteria for evaluation of promotion should be the same regardless of when such a review occurs.

An individual's time in rank will be calculated from the July 1st nearest to the faculty member's official start date.

C. Timeline

All the required documentation should be submitted to the Office of Academic Affairs on or before November 15th.

D. Documentation

Documentation of the criteria for promotion shall include the following:

Complete the forms contained in Appendix I and III

Letters of recommendation

Letters of recommendation from the department chair and the departmental committee.

Letters from chairs of committees on which the candidate has served.

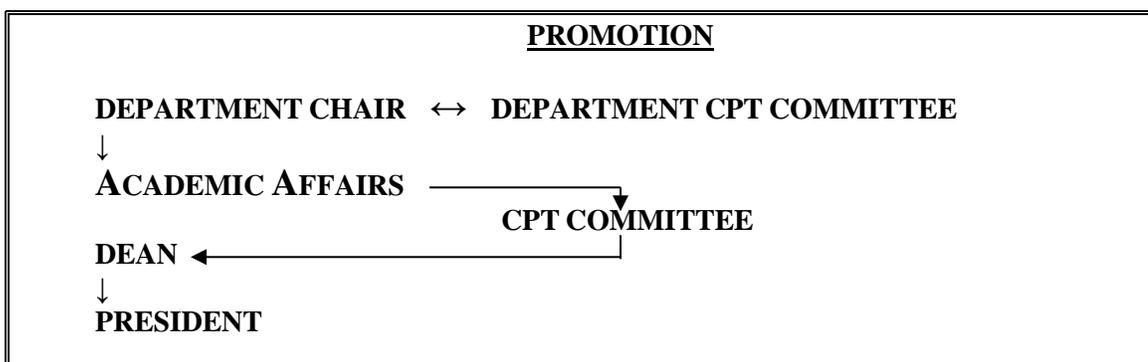
For promotion to the rank of associate professor and professor at least three outside letters that evaluate the suitability of the proposed promotion and/or awarding of tenure shall be solicited by the department chair from recognized peers outside the University of North Dakota. The candidate may submit a list of names to the department chair, but the department chair may solicit letters from other qualified peers. The use of previous mentors, co-authors or close collaborators should be avoided to minimize the appearance of personal bias. When external reviewers are confirmed, the chair should provide the faculty member's curriculum vitae and the departmental guidelines for promotion and tenure for the evaluative process. In the event that the department does not have approved promotion and tenure guidelines, a copy of the SMHS *Guidelines* should be included. External reviewers are to specifically address their association, if any, with the faculty member being considered for promotion and/or tenure. External reviewers should receive instructions to evaluate the faculty member's performance based on the criteria stated in the departmental guidelines for promotion and tenure. Moreover, when evaluating faculty performance, external reviewers should utilize the standardized terminology for faculty performance (i.e. outstanding, high, or good). The external evaluation letters must be included in the initial review by the departmental committee and chair.

Department guidelines may require additional letters.

The CPT determines that the documentation meets university, school and departmental guidelines and that the characteristics necessary for promotion are evident.

E. Routing for Approval

The department chair provides all necessary documentation to the Office of Academic Affairs (AA). After insuring that the documentation is complete, the Office of Academic Affairs submits the material to CPT; CPT recommends an action to the Dean; the Dean submits his/her decision to the President. The President approves or disapproves the recommendation of the Dean.



F. Recommending Authorities and Advisory Groups

RECOMMENDING AUTHORITIES. Promotions are normally made by the President upon recommendation by the department chair and the dean of the college or school involved.

All recommendations from the department chair and the dean must be in writing, and each must include a statement supporting the recommendation. Both the recommendation and the statement must be made part of the promotion file. After each recommendation is made, the candidate for promotion must be informed of said recommendation and must be given access to the promotion file in order to review the recommendation and respond, if desired, in the form of a written statement, to any material in his or her promotion file. (Section II-5.3.B.1.)

GROUPS AND PERSONS ADVISORY TO THE RECOMMENDING AUTHORITIES. *The department chair must seek the advice of a department committee. The Vice President for Health Affairs and Dean must seek the advice of the SMHS Committee on Promotion and Tenure. Advisory groups must be composed of faculty. All advisory groups must record votes for and against promotion, and the record of the votes must be made a part of the promotion file. All written advice must be part of the promotion file. (Section II-5.3.B.2)*

G. Appeal: Outlined in Faculty Handbook, Section II-5.3.C.

VII. TENURE

A college or university is a forum for ideas, and it cannot fulfill its purpose of transmitting, evaluating, and extending knowledge if it requires conformity with any orthodoxy of content and method. Academic freedom and tenure are both important in guaranteeing the existence of such a forum. This policy is intended to enable institutions under the authority of the Board to protect academic freedom. (SBHE: 605.1.1.a.)

The purpose of tenure is to assure academic freedom. Academic freedom applies to all scholarly pursuits. Freedom in scholarship is fundamental to the advancement of knowledge and for the protection of the rights of the faculty members and students. It carries with it duties and responsibilities correlative with rights. These duties and rights are set forth in policy 401.1, relating to Academic Freedom, and the 1940 Statement of Principles on Academic Freedom and Tenure (Rev. 1990), adopted by the American Association of University Professors and the Association of American Colleges. These policies apply to all institution faculty unless otherwise indicated. (SBHE: 605.1.1.b.)

Tenure is awarded by the Board upon recommendation of the Chancellor, following review and recommendations made pursuant to the procedures established at an institution and a recommendation by the institution's president to the Chancellor. A favorable recommendation means that the applicant meets all of the prerequisites and criteria and the award of tenure is consistent with the sound fiscal management and academic priorities of the institution and the system of education under the control of the Board. Tenure recommendations submitted to the Board shall include a brief summary of the candidate's qualifications and reasons for the recommendation. Tenure is not an entitlement, and the granting of tenure requires an affirmative act by the Board. Tenure is limited to the academic unit or program area in the institution in which tenure is granted and shall not extend to an administrative or coaching position. (SBHE: Section 605.1.1.c.)

A. Recommending Authorities and Advisory Groups

Recommending Authorities. Tenure is granted by the Board of Higher Education upon recommendation by the President. Recommending authorities to the President are the Vice President for Health Affairs and Dean and the chair of the department in which tenure is to be granted. Because faculty are tenured in the academic unit, and because of the close and frequent professional association between the initiating committee or the chair and the faculty member, consideration should be given to the chair's recommendation at all stages of the review process.

All recommendations from the department chair, the Vice President of Health Affairs and Dean, and the President must be in writing, and each must include a statement supporting his or her recommendation. The statement must speak with reference to and take into account the tenure plan or plans under which the person being considered for tenure has served, as identified in, to, or with that individual's contract(s) as required by Board of Higher Education Policy Manual section 605.1 subpart 3 b. (i) and (ii). If the recommendation is negative, the accompanying statement must indicate the basis for the recommendation. Both the recommendation and that statement must be made part of the faculty member's personnel file. After each recommendation is made, the candidate for tenure must be informed of said recommendation and must be given access to the file in order to review the recommendation and respond, if desired, in the form of a written statement, to any material in his or her file.

Advisory Groups. The department chair must seek the advice of a department committee. The dean of the college or school involved must seek the advice of a college or school advisory committee. These advisory groups shall be formed according to department or college procedures. The committees must record roll call votes for and against tenure, and these votes must be made a part of the tenure file. Any negative vote must be accompanied by a written statement providing the basis for the vote. The candidate is to be informed of the committee's recommendation and must be given access to the file in order to review the recommendation and respond, if desired, in the form of a written statement. All written advice must be part of the file which is reviewed for tenure. (Section II-8.1.1.)

B. Procedures for Tenure Evaluation

Tenure reviews will take place in the Fall semester. When a faculty member is being reviewed for tenure and promotion during the same academic year, recommendations at all levels are to be made simultaneously but on separate forms, and care is to be taken that appropriate forms are forwarded to the appropriate advisory bodies. The faculty member being reviewed for promotion and tenure in the same academic year may submit the same supporting materials for both processes.

Whenever the evaluation is used in deliberations on retention or tenure, the report of the evaluation must include a written statement evaluating progress toward tenure as unsatisfactory, adequate, or excellent, as measured with reference to the individual's tenure plan(s) in effect during the period of evaluation, and the statement must be placed in the faculty member's personnel file; if the statement reports unsatisfactory progress, the faculty member shall be provided specific written recommendations for improvement.

Faculty shall be informed at the time of their initial appointment of the criteria for evaluation and objectives set by the department. Faculty shall also be informed whenever there is a change made in those criteria and objectives by the department. (Section II-8.1.1.)

Probationary faculty should be provided with a tenure plan from the departmental chair at the time of their initial appointment that outlines the expectations required for the granting of tenure. Faculty shall also be informed in writing and given adequate notice whenever there is a change made in those expectations. Contract provisions shall be reviewed and, when appropriate, expectations may be revised as a part of the faculty member's periodic evaluations.

The evaluation criteria for granting or denying tenure shall include teaching, research and creative accomplishments, professional competency and activity, commitment to the mission of the department and University, and contributions to society as these criteria are described in the letter of appointment or in amendments to the letter of appointment and in the appointee's annual or other contract(s) and the tenure plan or plans required to be identified in such contract(s). (Section II-8.1.1.)

Departments shall establish various tenure “plans” appropriate to the diverse missions of individual departments, designed to encourage emphasis on research, scholarship in teaching (including, for example, utilization of technology in teaching and innovative teaching methods), service (including, for example, technology transfer and economic development) and other areas of emphasis. Department regulations shall include guidelines for determining weight to be given each of the criteria for tenure evaluation and continuing evaluation. The guidelines shall provide for varying emphases on the enumerated criteria based upon the faculty member's plan, the needs of the department and the background, abilities and interests of the faculty member. (SBHE: 605.1.3.b.i.)

Tenured and probationary faculty contracts shall identify the faculty member's tenure plan and describe the faculty member's duties and goals. The contracts shall specify the weight to be given the criteria for evaluating performance. The contract provisions shall be reviewed and, when appropriate, revised as a part of the faculty member's periodic evaluations. (SBHE 605.1.3.b.ii.)

Eligibility for tenure requires a probationary period of six years of continuous academic service to the institution, during which the faculty member is evaluated at least annually according to an evaluation process designed to foster continuous improvement. The term may be extended beyond six years or the continuous service requirement may be waived in exceptional circumstances. Institutions shall establish procedures for granting extensions or waivers of the continuous service requirement in exceptional circumstances, which must include maternity or parental leave and appropriate accommodations for faculty members with disabilities. Institution procedures may define additional exceptional circumstances including, for example, family emergencies or extended illness. (SBHE 605.1.3.c.)

An institution may, subject to procedural requirements stated in this policy and sections 605.2, 605.3, and 605.4, decline to renew the contract of a probationary faculty without cause at any time during the probationary period. (SBHE 605.1.3.d.)

Under certain circumstances a faculty member may request a one year extension to the probationary period. Such a request is normally based upon one of the following: 1) responsibilities with respect to childbirth or adoption; 2) significant elder or dependent care obligations; 3) disability or chronic illness; 4) circumstances beyond the control of the faculty member that significantly impede progress toward tenure. A request for an extension of the probationary period will be submitted at any time but no later than the end of the academic year prior to the year in which the review for tenure is scheduled to occur.

For requests for extension, the faculty member submits the request to the chair of the department who shall consult with existing departmental governance bodies before recommending approval or disapproval of the request. All requests are further reviewed by the academic dean and (except for the faculty of the School of Medicine and Health Sciences) the Vice President for Academic Affairs who grants or denies the request. For a faculty member in the School of Medicine and Health Sciences, request forwarded from the department is reviewed by that dean and receives a final review by the President, who grants or denies the request. (Section II-8.1.2.)

An individual with previous professional experience may, at the discretion of the institution, be given tenure credit not to exceed three years for this experience, with such credit to be regarded as academic service to the institution for the purpose of these regulations. The faculty member shall be informed in writing of this policy and the institution's decision prior to or at the time of appointment. (SBHE 605.1.4.a.i.)

An individual's time in rank will be calculated from the July 1st nearest to the faculty member's official start date.

Time spent on leave of absence or sabbatical leave may be counted for tenure. This determination shall be made prior to authorization for the leave.

A tenure-eligible faculty member cannot be recommended for tenure unless the department/college will have available permanent funding for that person from appropriated funding at the time tenure is to become effective. A department/college cannot shift either a tenured or tenure-eligible faculty member onto non-appropriated money unless there is a recognized plan enabling reassignment of him/her to appropriated funding at the time non-

appropriated funds are unavailable or he/she becomes eligible for tenure through years of services to the University. (Section II-8.2.K.)

A faculty member who does not already have a probationary appointment shall not earn tenure credit for time spent in a position not entirely supported by state-appropriated funds, unless at the conclusion of such time an express decision is made by the institution to award tenure credit.

Tenure will not be awarded to part-time faculty in the School of Medicine and Health Sciences.

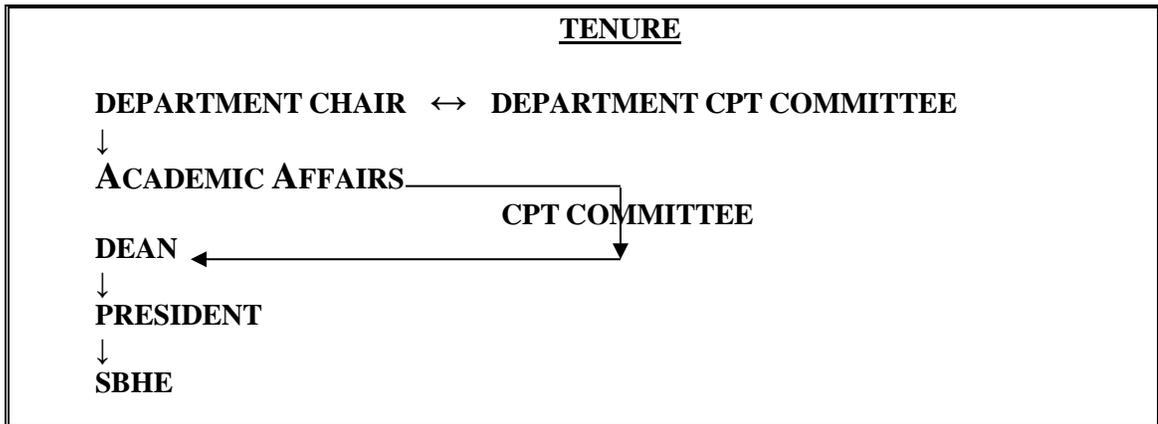
C. Procedures for Tenure Review

Materials to be submitted to the Office of Academic Affairs relative to a tenure decision must include:

- The documentation requested for promotion decisions
- All prior evaluations of the faculty conducted by the department
- A completed form that records votes for the components involved in the decision (Appendix II)

D. Routing for Approval

The department chair collects the documentation and submits the evaluating committee's recommendation to the Office of Academic Affairs; the Office of Academic Affairs submits the material to CPT; the CPT committee advises the Dean on whether the materials comply with the *Guidelines* and Faculty Handbook. The Dean forwards the decision to the President. The President submits the final recommendation to the State Board of Higher Education.



E. Appeal

If a decision is made by the President against recommending that tenure be granted, and if the faculty member alleges that the reasons for the decision were inadequate, the faculty member may appeal by following the procedures outlined in the Board of Higher Education Policies on Hearings and Appeals. (SBHE: Section 605.4)

F. Appointments with Tenure

In an exceptional case, the SMHS may make an initial appointment with tenure, with the approval of the departmental chair, CPT, the Dean, the President, and the State Board of Higher Education.

Documentation submitted to CPT for tenured appointment shall include a curriculum vitae, a letter of support from the departmental chair, a letter of support from the Dean (in the case of hiring a departmental chair), and the job description.

VIII. ADMINISTRATIVE APPOINTMENTS

Under normal circumstances, administrative officers initially appointed to the University of North Dakota in nonacademic administrative positions will not be given tenure eligible rank or recommended for tenure as a result of time spent in the administrative positions. (Section II-8.2.F.)

If a probationary faculty member at UND moves into a full-time nonacademic administrative position, he/she will not continue to accrue credit toward tenure while in that administrative position. A faculty member already tenured will retain tenure. (Section II.8.2.F.)

The faculty of a department in the SMHS may recommend academic rank for a nonacademic administrator subject to approval of the Dean.

If a probationary or tenured faculty member already employed at the University of North Dakota is appointed to an academic administrative position, rank or tenure status will not be affected by the appointment. Accrual of additional tenure credit during subsequent administrative service may be granted only when there is regular, formal involvement in the program and the discipline of the department, and the concurrence of the department/college concerned. (Section II-8.2.H.)

Administrators do not accrue credit toward tenure during the time they serve as administrators. (Section II-8.2.I.)

If any individual is appointed to an academic administrative position from outside the University, academic rank and/or tenure offered concurrently with or subsequent to such appointment will be determined only after recommendation of the department/college in which the rank is to be given. The criteria for rank and/or tenure for such individuals, especially those relating to scholarly activity and service to students, will be similar to those regularly used in the department/college. (Section II-8.2.J.)

Appendix I



**University of North Dakota
School of Medicine and Health Sciences
RECOMMENDATION FOR PROMOTION IN ACADEMIC RANK**

Date of Submission

Name of Faculty Member

Current Academic Rank

Years at UND

Years at Current Rank

Other University

Years at Other University

Action of the Departmental Committee on Promotions in the Department of _____

As to recommendation for promotion to the academic rank of _____

Recommends
Does not recommend (attach comments)

Votes for
Votes against

Signature
Dept. CPT Committee Chair

Action of the Department or Program Chair

Concurs with the recommendation
Does not concur with the recommendation (attach comments)

Signature
Chair

Action of the SMHS Committee on Promotion and Tenure

Concurs with the recommendation
Does not concur with the recommendation
(attach comments)

Votes for
Votes against

Signature
SMHS CPT Committee Chair

Action of the Dean

Concurs with the recommendation
Does not concur with the recommendation (attach comments)

Signature of Dean

Appendix II



**University of North Dakota
School of Medicine and Health Sciences
RECOMMENDATION FOR AWARD OF TENURE**

Date of Submission

Name of Faculty Member

Current Academic Rank

Years at UND

Years at Current Rank

Other University

Years at Other University

Action of the Departmental Committee on Promotions in the Department of _____

As to recommendation for award of tenure:

_____ Recommends
_____ Does not recommend (attach comments)

Votes for _____
Votes against _____

Signature
Dept. CPT Committee Chair

Action of the Department or Program Chair

_____ Concurs with the recommendation
_____ Does not concur with the recommendation (attach comments)

Signature
Chair

Action of the SMHS Committee on Promotion and Tenure

_____ Concurs with the recommendation
_____ Does not concur with the recommendation
(attach comments)

Votes for _____
Votes against _____

Signature
SMHS CPT Committee Chair

Action of the Dean

_____ Concurs with the recommendation
_____ Does not concur with the recommendation (attach comments)

Signature of Dean



**University of North Dakota
School of Medicine and Health Sciences**

EVALUATION FORM

I. Information for _____ at Time of Employment:
Name of Faculty Member

- A. Date of Employment _____
- B. Rank and Title _____
- C. Highest Degree _____
- D. Terminal Degree for this Position _____
- E. Special Qualifications:
- F. Experience in Other Higher Education Institutions:
- G. Nature of Initial Appointment: (Please submit copy of original job description.)

II. Changes Subsequent to Employment:

A. Degrees completed:

University	Degree	Date Conferred
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B. Promotions Previously Granted:

1. Date _____ from (rank) _____ to _____
2. Date _____ from (rank) _____ to _____
3. Number of calendar months from last promotion _____

C. Attach copy of Standard Curriculum Vitae.

D. Nature of Present Assignment and Percent of Time Allocated to Various Activities. (Attach job descriptions for each year at present rank--document below any areas where you believe the job description has not accurately reflected your expectations of candidate's performance.)

III. **Teaching** (undergraduate, graduate, continuing, and allied health). See CPT Guidelines and your departmental guidelines for examples of activities and documentation.

IV. **Scholarly Activity** See CPT Guidelines and your departmental guidelines for examples of activities and documentation.

V. **Professional and Community Service.** See CPT Guidelines and your departmental guidelines for examples of activities and documentation.