

Department of Pathology
Guidelines for Evaluation, Promotion and Tenure

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Department of Pathology Guidelines for Evaluation, Promotion and Tenure

I. Preamble

The principal responsibility for the implementation of the evaluation of individual faculty members resides in the departments. Accordingly, the Department of Pathology has developed its own procedures for the evaluation of faculty for promotion, tenure and post-tenure performance, as well criteria/expectations of achievement for promotion from rank to rank, for the awarding of tenure, and for post-tenure performance. The Department's *Guidelines for Evaluation, Promotion and Tenure* are to be considered supplemental to the guidelines found in the *University of North Dakota Faculty Handbook* and to the School of Medicine and Health Sciences (SMHS) *Guidelines on Promotion and Tenure*. Therefore, each departmental faculty member has specific responsibility for becoming familiar with each of these documents in order to fully understand principles, responsibilities, process and expectations associated with evaluation, promotion and the award of tenure.

II. General Principles and Responsibilities

- A. Each faculty member will be active and productive in the areas of teaching, scholarly and creative activity, distinctive contributions to one's discipline and profession, and professional and community service.
- B. Departmental standards have been established in Section V of the SMHS Guidelines on Promotion and Tenure. While all faculty members will be evaluated according to criteria established in the general areas of teaching, scholarly and creative activity, and service, it is recognized that some individuals may make greater contributions in certain areas in comparison to their colleagues and, consequently, may not share equal responsibility in all areas. Variability in talents and, therefore, expectations for productivity should be considered by both the faculty member and chairperson in negotiating a faculty member's professional responsibilities. This should be reflected in the Percentage of Effort Form completed and submitted annually for each individual and in the Tenure Plan for probationary faculty members.

III. Criteria for Appointment/Promotion: Candidates for appointment / promotion in the Department of Pathology must meet the general criteria for rank as described in the SMHS *Guidelines for Promotion and Tenure* II.B.

A. Characteristics of Academic Rank in Academic Title Series Listed below are characteristics of rank in the Academic Title Series used for appointment or promotion. These are intended to be the usual criteria and are not intended to exclude qualified candidates who possess equivalent training.

- **Instructor**

- Earned Bachelors' degree or equivalent training; professional certification/licensure, if applicable
- Promise as a teacher
- Engaged in professional development

- **Assistant Professor**

- Earned doctorate or other degree considered a terminal degree by the discipline
 - Postgraduate training: Faculty members will normally be expected to have completed a postdoctoral experience / residency training, if appropriate to their area of specialization at the time of training
 - Potential for effectiveness in teaching
 - Potential for effectiveness in scholarly and creative activity
 - Potential for effectiveness in clinical practice area if assigned.
 - Potential for effectiveness in professional and community service

- **Associate Professor**

- Earned doctorate
 - Postgraduate training if appropriate to field; certification / licensing if appropriate to field
 - Consistent and marked effectiveness in teaching
 - Scholarly and creative activity of appropriate quality and quantity for time in rank
 - Local or regional recognition for scholarly activity
 - Excellence in clinical service / activity appropriate to training and if assigned.
 - Consistent and substantial contributions and service to his/her profession and school
 - Demonstrated professional and community service

- **Professor**

- The rank of Professor is awarded on the basis of documented recognition for continued solid and superior performance, and not simply on the basis of time in rank as Associate Professor
 - Earned doctorate
 - Postgraduate training, if appropriate to their area of specialization at the time of training; certification / licensing if appropriate to field.
 - Recognition for continued excellence in teaching
 - Excellence in clinical service / activity appropriate to training and if assigned.
 - National or international recognition for continued scholarly activity of high quality and appropriate quantity
 - Demonstrated leadership and superior service contribution to the department, school and his/her profession
 - Recognized for professional and community service

B. COMMUNITY TITLE SERIES

1. **Criteria for Rank:** Individuals possessing an earned Bachelor's degree, graduate degree, doctorate or other degree considered to be a terminal degree by the discipline, or significant clinical experience commensurate with a terminal degree and willing to contribute to the School in teaching, scholarly activity and/or service missions are eligible for clinical rank.

2. **Characteristics of Community Rank**

Clinical Instructor

- Previously demonstrated teaching experience not required.
- Willing to spend up to 100 hours/year teaching

Clinical Assistant Professor

- Board eligible or certified in his/her discipline, if applicable; post-degree experience, if applicable
- Less than three (3) years teaching experience
- Willing to spend up to 100 hours/year teaching or engaged in scholarly activity
- Demonstrates promise of excellence in their primary professional activity.

Clinical Associate Professor

- Board certified (if applicable)
- Three (3) or more years teaching or research experience
- Demonstrates effective teaching or research
- Plays important role in departmental teaching activities
- Willing to spend 100 hours or more/year teaching or engaged in scholarly activity
- Demonstrates excellence in their primary professional activity.

Clinical Professor

- Board certified (if appropriate)
- Six (6) or more years teaching or research experience
- Demonstrates effective teaching
- Plays important role in departmental teaching/research and leadership activities
- Willing to spend 200 or more hours/year teaching or 100 hours engaged in scholarly activity
- Demonstrates excellence in their primary professional activity.

C. Criteria for Appointment/Promotion in Research Title Series: Candidates for appointment in the Department of Pathology must meet the general criteria for rank as described in the *SMHS Guidelines for Promotion and Tenure II.D.*

Characteristics of Academic Rank in Research Title Series: Listed below are characteristics of rank in the Research Title Series used for appointment or promotion. These are intended to be the usual criteria and are not intended to exclude qualified candidates who possess equivalent training.

- **Research Associate (Postdoctoral associate)**
Earned doctoral degree or other degree considered to be the terminal degree by the discipline equivalent training
Primarily for training; without extramural funding
Supports the mission of the department
- **Research Assistant Professor**
Earned doctorate or other degree considered a terminal degree by the discipline

Postgraduate training: Faculty members will normally be expected to have completed a postdoctoral experience, if appropriate to their area of specialization at the time of training

Potential to develop an extramurally funded research program

Potential for effectiveness in department and professional service

- **Associate Professor**

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

Postgraduate training: Faculty members will normally be expected to have completed a postdoctoral experience, if appropriate to their area of specialization at the time of training

Demonstrated record of excellence in research

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

Potential for effectiveness in department and professional service

- **Research Professor**

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

Earned doctorate

Postgraduate training, if appropriate to their area of specialization at the time of training

Evidence of extramural funding and maintaining a research program of high quality and appropriate quantity

Recognition for continued contributions to his/her profession and school

Demonstrated leadership and superior service contribution to the department, school and his/her profession

Recognized for professional and community service

IV. Criteria for Evaluation

All faculty members in the Department of Pathology, including the departmental chairperson, will be evaluated periodically on the schedule indicated in the *SMHS Guidelines on Promotion and Tenure*. Each faculty member will be evaluated in the general areas of teaching, scholarly and creative activity, patient care, distinctive contributions to one's discipline and profession and professional service, as appropriate to the faculty and department, and in addition, will be expected to demonstrate contribution to the achievement of short and long range departmental goals. Evaluations for the purpose of recommendation for promotion and/or the award of tenure will be conducted in a manner similar to periodic evaluations.

A. Teaching

1. The effort in teaching will be reflected by current percent effort reports and based on total departmental responsibilities and funding lines
2. Commitment to teaching is characterized by any combination of the following:
 - a. Undergraduate instruction, including lecturing, laboratory teaching, small group discussion, laboratory / microscopic sessions, review sessions and one-on-one directed studies.
 - b. Instruction of professional students, including lectures, laboratory instruction, research rotations, small group facilitation of the PCL curriculum designed for medical students, student electives, and courses offered to residents.
 - c. Instruction of graduate students, including graduate core curriculum courses, specialty courses and research supervision of laboratory bench-work, as well as preparation of data for theses/dissertations, publications, and seminars.
 - d. Tutoring and one-on-one teaching at all levels.
 - e. Curriculum development efforts including, but not limited to, course design or re-design, development and/or implementation of innovative teaching methods, and implementation of strategies for student learning assessment that are useful in ongoing curricular improvement.
3. With regard to teaching, it is essential that each faculty member not only document time commitments to teaching, but also document that he/she is indeed an effective teacher. Therefore, teaching effectiveness must be documented by written student and peer evaluations in addition to any other evidence of effective teaching.

B. Scholarly and Creative Activity

1. Scientific research and scholarly inquiry is considered by departmental faculty members to be both a privilege and a responsibility.
2. Each tenure-track faculty member will be expected to maintain a productive program of scholarly and creative activity. Each faculty member should be continuously in the process of developing his/her research program and seeking appropriate collaborations.
3. Scholarly activity should be published in peer reviewed journals that are recognized for publishing excellent quality work. It will be expected that faculty members submit publishable manuscripts on a regular basis. Average publication rates per year as indicated in Table I will be considered appropriate. However, research

publications and other creative accomplishments should be evaluated, not merely enumerated.

4. Each faculty member will be expected to generate the funds necessary to sustain the research program he/she has designed, understanding that obtaining extramural funding with the likelihood for continued extramural funding is an essential criterion for promotion and the award of tenure. For purposes of this document, "intramural funding" is defined as: monies available to UND investigators derived from funds exclusively owned, administered, and distributed by the University of North Dakota. All other funding is defined as "extramural".
5. It is expected that faculty members will be active in, and support national and state scientific organizations. This ordinarily will involve travel to national or international meetings and presentation of new data by means of platform or poster sessions.
6. Research will have a "demonstration of independence from senior mentors" and "independent extramural funding". This criteria will be evaluated by the Pathology CPT committee and may be met by several potential criteria as determined by the Department of Pathology CPT committee, including external measures such as submission of NIH funding as a principle investigator on single or multiple investigator grants, co-principle investigator, project director, core laboratory director on extra-mural funding applications, service on extra-mural study sections or professional journal editorial boards, leadership in national professional organizations / meetings and similar measures of research maturity. In accordance with current NIH Roadmap and guidelines, collaborative research activities fully meet UNDSMHS CPT criteria for a "demonstration of independence from senior mentors" when the faculty member is accepted by NIH and other funding agencies, editorial boards and professional organizations in one or more of the criteria above. Collaborative and inter-disciplinary research efforts, including participation in interdisciplinary investigations in clinical translational research efforts are highly valued. Members of such inter-disciplinary research teams which meet national standards within the NIH Roadmap and/or professional organizations for research contributions fully meet the UNDSMHS CPT criteria for independent research and independence from senior scientific mentors.

C. Service

Although service activities in non-University-related activities are commendable, evaluation for the purpose of promotion and tenure should be confined to professional and/or University-related activities. These include, but are not limited to, administrative responsibilities, committee membership, professional society responsibilities, student services, and community activities related to one's professional expertise.

1. Faculty members will be expected to participate in, and contribute to the administrative efforts of the Department, the SMHS, and the University.
2. Service responsibilities ordinarily will involve committee work. However, they may involve individual effort in response to an administrator's request or they may be voluntary actions on the part of the faculty member. They also may include courses taught as a service to the community or state.

- D. Clinical Service:** For faculty assigned clinical service, effective clinical service is required for evaluation. The documentation of this will vary with regard to the primary assignment of the faculty. If clinical work and payment is performed outside of UNDSMHS, quality assessment and work performance is the responsibility of that agency and maintaining credentials within that agency will assume satisfactory clinical performance for CPT evaluation.
1. All faculty with clinical service responsibilities will be expected to maintain professional licensure and/or national/state certification. Documentation of this is expected for evaluation for all faculty assigned clinical service responsibilities.
 2. All faculty will be expected to maintain appropriate continuing educational activities appropriate to discipline. Documentation is expected for evaluation for all faculty assigned clinical service responsibilities.
 3. Faculty with clinical assignments under UNDSMHS are expected to provide a description of scope of assignment, workload and quality assessment of activities. Faculty with clinical responsibilities not under the control of UNDSMHS will be expected to maintain clinical appointment at the facility assigned. This will meet the UNDSMHS review criteria. UNDSMHS will not review quality and professional assessment related to clinical service activities for faculty not primarily employed by UNDSMHS.

V. Criteria for Promotion in Rank

Recommendations for promotion in the Department of Pathology can be achieved in the “Basic Scientist Scholar”, the “Educator Scholar” Academic Title Series, the “Clinical Scholar” Academic Title Series or in the Research Rank. Promotion in the Basic Scientist Scholar, Educator Scholar, or Clinician Scholar series is regarded as recognition and reward for academic attainment in the areas of teaching, scholarly and creative activity, clinical activity (if appropriate) and service, which are considered of equal importance reflective of the percent effort assigned, while the major criterion for promotion of Research Faculty members is research productivity. The major criteria for Community Title Series are defined by UNDSMHS Guidelines for Promotion and Tenure and are reflective of the time commitment to educational, research and service missions of the UNDSMHS.

A. Promotion in the Academic Title series.

1. Departmental procedures for the evaluation of faculty for promotion, tenure and post-tenure performance are in accord with the SMHS *Guidelines for Promotion and Tenure* (Approved FAC 4/7/03). These in turn are in accord with the *University of North Dakota Faculty Handbook* (1998). It is the responsibility of individual faculty members to be familiar with both of these documents. School-wide and University-wide interpretations are in force when specific policies are not stated in these Guidelines for Evaluation, Promotion and Tenure.
2. Faculty academic titles will be mutually agreed upon between the departmental Chairperson and the individual faculty member at the time of appointment. In exceptional circumstances, faculty academic titles may be renegotiated at a later career stage. It is recognized that there is a wide spectrum of activities within any given faculty title and that these activities will change with time. The contribution of individual faculty members to the mission of the Department and the school will be mutually agreed upon by the

- departmental Chairperson and individual faculty member and reflected in the *Percentage of Effort Form* submitted annually. The *Percentage of Effort Forms* will be taken into consideration in weighing the importance of each area to the overall evaluation.
3. Faculty members will be evaluated in a manner that is consistent with their faculty academic title in the areas of **teaching, research/scholarly activity, clinical service and professional / university service** and according to the needs of the Department. Levels of achievement appropriate to specific rank within the Basic Scientist Scholar, Educator Scholar and Clinician Scholar Academic Title Series are described in the *SMHS Guidelines on Promotion and Tenure*, Section VI.A.1.2. and are considered the minimal levels of achievement necessary for promotion to each rank. Individual performance will 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.
 4. Promotion to Associate Professor and Professor will occur only if 1) outstanding accomplishment is achieved in at least one of the areas, 2) high accomplishment is achieved in a second area, and 3) good accomplishment is achieved in the third area. It is recognized that a faculty member may display creative activity in any of the three areas. Outstanding accomplishment in professional/university service, however, is considered to be sufficient for promotion to Associate Professor and tenure only under specific circumstances as defined in the faculty member's tenure plan. A minimum of good accomplishment is expected in all three areas for an individual faculty member not seeking promotion or tenure. Professional development plans will be instituted to address chronically deficient performance. Advancement to Associate Professor requires establishment of outstanding accomplishment in the appropriate area(s).
 5. The Department recognizes examples of **hallmarks of outstanding, high, and good accomplishment** expected for tenure and promotion as outlined in Table I. The hallmarks are applicable to any faculty academic title, but should be weighted based on the criteria set forth in the *SMHS Guidelines for Promotion and Tenure*. The purpose of the checklist is to provide a sense of the importance of specific activities based on previous experience. Outstanding performance may be achieved by other means, but these should be discussed with the departmental Chairperson to determine their potential impact on evaluation decisions. It also is possible to receive an outstanding evaluation in an area without meeting all the hallmarks. In the end, a preponderance of evidence must support a given evaluation decision.

TABLE I. Examples of departmental hallmarks for promotion and tenure decisions

	Good	High	Outstanding
Teaching	<ul style="list-style-type: none"> • Significant contributions to the Department’s formal teaching mission, in accord with assigned percent effort. • Good student evaluations • Evidence of good quality of teaching through student performance on examinations • Counseling of students into career paths related to the profession 	<ul style="list-style-type: none"> • Significant contributions to the Department’s formal teaching mission, in accord with assigned percent effort. • Involvement in curriculum design, development, and implementation • Excellent student evaluations • Evidence of excellent quality of teaching through student performance on examinations • Active counseling of students into career paths related to the profession 	<ul style="list-style-type: none"> • Significant contributions to the Department’s formal teaching mission, in accord with assigned percent effort. • Demonstrated skill in course administration • Leadership in curriculum design, development, and implementation • Outstanding student evaluations • Formal recognition of teaching excellence through local/national awards • Evidence of outstanding quality of teaching through student performance on examinations • Successful placement of students into career paths related to the profession
Research/Scholarly Activity	<ul style="list-style-type: none"> • Active research program • Average publication rate of about 0.5 significant peer-reviewed articles per year. • Average rate of principal authorship or major contributor to 1 new clinical case per year • Evidence of intramural support for research program • Attendance at national/international meetings • Successful mentoring of graduate students • Recognition of research by leaders in the field • Active seeking of extramural funds 	<ul style="list-style-type: none"> • Active research program • Average publication rate of about one significant peer-reviewed article a year. • Average rate of principal authorship or major contributor to 2 new clinical cases per year • Citation of publications by others in the field • Significant funding • Presentations at national/international meetings • Successful mentoring of graduate students • Recognition of the research significance by leaders in the field • Active seeking of extramural funds 	<ul style="list-style-type: none"> • Vigorous and productive research program • Average publication rate of more than one significant peer-reviewed article a year. • Average rate of principal authorship or major contributor to >2 new clinical cases per year • Citation of publications by others in the field • Sustained, significant extramural funding • Invited presentations at national/international meetings • Successful mentoring of graduate students • Recognition of the research significance by leaders in the field • Invited reviews/book chapters
Service	<ul style="list-style-type: none"> • Active participation in the service missions of the Department, school and university • Membership in professional organizations 	<ul style="list-style-type: none"> • Active participation in the service missions of the Department, school and university • Service on grant and/or program review panels • Reviewing of manuscripts for publication • Active involvement in professional organizations • Contributes to the professional development of others 	<ul style="list-style-type: none"> • Leadership in the service missions of the Department, school and university • Service on extramural grant and/or program review panels • Regular reviewing of manuscripts for publication • Leadership in professional organizations • Significant advancement of the professional development of others through mentoring
Clinical Service	<ul style="list-style-type: none"> • Potential for recognition in clinical service activities. • Maintenance of licensing appropriate to field 	<ul style="list-style-type: none"> • Excellence in clinical service activities, by quality assessment for UNDSMHS appointment or maintaining credentialing at home institution. • Maintaining licensing in field • Appropriate continuing education completion 	<ul style="list-style-type: none"> • Regional or national recognition of clinical service activities. • Maintaining licensing in field • Appropriate continuing education completion

B. Promotion in the Research Faculty title series

For Research Faculty members, criteria, documentation of research productivity and examples of scholarly activity for consideration for promotion are described in the SMHS *Guidelines on Promotion and Tenure*, Section VI.A.4. The Department recognizes that scholarly activity must be ongoing and continuous, and promotion to the ranks of Associate Professor and Professor must be based on recognition for excellence. Table II provides examples of hallmarks of accomplishment in rank that may be negotiated by a faculty member and the departmental chairperson at the time of appointment. They also may be used by the departmental Chairperson, and/or the departmental CPT as a guide for evaluation of a Research Faculty member for promotion to Assistant Professor, Associate Professor, or Professor.

Table II: Examples of hallmarks of accomplishment in rank in the Research Faculty series

	Assistant Professor	Associate Professor	Professor
Research/Scholarly Activity	<ul style="list-style-type: none"> • Active research program • Average publication rate of about one significant peer-reviewed article per year. • Evidence of intramural support for research program • Attendance at national/international meetings • Successful mentoring of graduate students • Recognition of research by leaders in the field • Active seeking of extramural funds 	<ul style="list-style-type: none"> • Active research program • Average publication rate of about two significant peer-reviewed articles a year. • Citation of publications by others in the field • Significant extramural funding • Presentations at national/international meetings • Successful mentoring of graduate students • Recognition of the research significance by leaders in the field 	<ul style="list-style-type: none"> • Vigorous and productive research program • Average publication rate of more than two significant peer-reviewed articles a year. • Citation of publications by others in the field • Sustained, significant extramural funding • Invited presentations at national/international meetings • Successful mentoring of graduate students • Recognition of the research significance by leaders in the field • Invited reviews/book chapters

Table III: Criteria for Promotion Clinician Scholar

	ASSISTANT PROFESSOR	ASSOCIATE PROFESSOR	PROFESSOR
PATIENT CARE	For Promotion to ASSISTANT PROFESSOR, the faculty member must demonstrate potential for recognition by peers and/or patients in patient care activities.	For promotion to ASSOCIATE PROFESSOR, the faculty member must demonstrate excellence in patient care activities.	<i>For promotion to PROFESSOR, the faculty member must demonstrate a regional or national reputation for excellence in patient care activities</i>
TEACHING	For promotion to ASSISTANT PROFESSOR, the faculty member must show potential for excellence in teaching. The faculty member should also show a potential for contributing to curriculum and/or program development.	For promotion to ASSOCIATE PROFESSOR, the faculty member must demonstrate active and continuing involvement in education with a demonstrated record of excellence in teaching. The faculty member must document a significant contribution to curriculum and/or program development.	<i>For promotion to PROFESSOR, the faculty member must demonstrate a leadership role in education with recognition for excellence in teaching. The faculty member must demonstrate a leadership role in curriculum and/or program development.</i>
RESEARCH/SCHOLARLY ACTIVITY	For 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, and case reports, original articles, reviews, chapters, and/or extramural funding should be demonstrated.	For promotion to ASSOCIATE PROFESSOR, the faculty member must demonstrate a record of scholarly activity appropriate to position description and percent of effort, including the publication of original articles or chapters, publication or presentation of clinical observations, and case reports, reviews of the literature, and/or success in obtaining extramural funding.	For promotion to PROFESSOR, the faculty member must demonstrate a substantial record of scholarly activity including the publication of original articles or chapters, publication or presentation of clinical observations, and case reports, reviews of the literature, and/or success in obtaining extramural funding.
SERVICE	For 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, and leadership roles in the clinic, or hospital. 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 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, and leadership roles in the clinic, or hospital. 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 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.

C. Community Faculty Promotion Criteria:

The Community Faculty members are faculty who are primarily clinicians and who are or have been employed by regional health care systems or facilities. Their primary role is to contribute to the educational and scholarship missions of the School and they may contribute to the service and administrative missions. Research collaborators at other institutions may be appointed for educational and research missions of the department and School similar to clinical faculty in clinical roles.

- **Patient Care / Clinical Practice:** Effective patient care / clinical service is essential for promotion in this series if assigned as clinical faculty. This will be appropriate to clinical service area.
- **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.

The following are **examples** of teaching:

- Curriculum development and/or course design
- Curriculum delivery such as:
 - Lectures, Grand Rounds
 - Seminars
 - Group Facilitating
 - Clinical or Fieldwork experiences
 - Demonstration of skills, techniques, etc.
 - Tutorials
 - Discussion leadership
 - Participation in teaching of medical students and residents
 - Supervision of students on pathology rotations or allied health rotations.

The following are **examples** of documentation of teaching effectiveness:

- Student evaluations
 - Student evaluations (summary or composite)
 - Letters from students
- Peer assessments regarding:
 - Quality and appropriateness of material presented
 - Degree of preparation, structure and balance within a presentation
 - Availability and guidance during rotation or training program
 - Acceptance and encouragement of differing student opinions in discussion
 - Development of instructional aids and class projects
 - Maintenance of high academic standards by students
 - Contributions to interdisciplinary instructional programs
 - Collaborative work with other faculty members
- Presentations to multiple venues (e.g., multiple medical school departments, multiple organizations for continuing education, other institutions)
- Evaluations from presentations given inside or outside the University
- Teaching awards or honors

Documentation of teaching activity should include the following if applicable.

- List courses and lecture hours taught
- Level of participation in courses (e.g., course developer, course coordinator, lecturer, case writer)
- Weekly average of contact hours with students/residents (e.g., attending, precepting, advising)
- Innovative teaching techniques
- List students who were mentored
- List workshops, presentations, grand rounds, that were presented or coordinated within or outside the University

- **Scholarly and Creative Activity**

A measurable level of scholarly and creative activity is expected for promotion for individuals in the Community Faculty series. Each faculty member's activity in this area must be evaluated relative to his/her individual duties and responsibilities as outlined in their position description and percentage of effort.

Scholarly activity requires active participation in one's discipline or field. It includes the search for new knowledge, the expression of creative talent, and the application or communication of newly obtained and/or applied knowledge, and analytical thinking to one's discipline within and outside the University. Scholarly and creative activity can be accomplished in the areas of research, teaching and/or service. The types of scholarly activity may include clinical research, basic science research, or educational research.

The following are **examples** of research and scholarly activity:

- 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
- Publication of research, clinical observations, reviews, or case reports in journals, textbooks, or other publications
- Development of teaching materials including curriculum materials, educational programs, textbooks, manuals, computer programs, or audiovisual resources
- Teach or provide leadership in continuing education
- Disseminate clinical knowledge, techniques and technologies by presenting at local, regional, national or international conferences. Examples include original research, critical reviews of the literature, clinical observations or case reports.
- Presentations at local, regional, national or international conferences of original research, critical reviews of the literature, clinical observations or case reports.
- Clinical and/or basic research published in peer-reviewed publications
- Journal/book editor or reviewer
- Membership on editorial boards
- Leadership in organizing grand rounds and journal club
- Consulting activity in the faculty member's discipline that involves integration of the literature and experience with a specific problem or question.

The following are **examples** of documentation of research and scholarly activities.

- List publications (refereed, non-referred) and in the case of multiple authors list amount of involvement (e.g., lead author, collaborating author)
- List presentations of original research, critical reviews of the literature, clinical observations or case reports. Include topic, audience and/or organization sponsoring the presentation, and assessment of the presentations.
- List editorial board membership

Professional and Community 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 professional and community service:

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
- Consultant work not listed elsewhere (industry, education, or government)

Student services

- Academic advising
- Special counseling
- Involvement and advising student organizations
- Recruitment and screening of applicants

Faculty services

- 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 coordinator/director

Community service

- Presentations to service clubs, schools, church groups, etc.
- Patient and/or community education
- Giving professional assistance to committees, agencies, or institutions

The following are **examples** of documentation of professional and community service:

- List and describe committee membership.
 Program, Department, University, Professional (e.g., clinic, hospital, professional society), outside University.
 Provide offices held within committees and/or organizations.
 Provide assessment of participation and expertise within the committees/organizations, if available.
- Committee accomplishments
- List special projects that are not listed in any other category
- Commendatory letters testifying to a faculty member’s special achievements
- List all awards received within or outside the University

Criteria for Promotion Community Faculty

ASSISTANT PROFESSOR	ASSOCIATE PROFESSOR	PROFESSOR
<p>For 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.</p>	<p>For promotion to CLINICAL ASSOCIATE PROFESSOR, the faculty member shall document excellence in Patient Care or Research Collaborations and an increase in the level of ability in at least two of the following areas: teaching, scholarship or other professional achievements or service to the department, the School, or the profession.</p>	<p>For promotion to CLINICAL PROFESSOR, the faculty member shall document excellence in patient care or research collaborations 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.</p>

VI. Awarding of Tenure and Expectations of Faculty Members Who Have Been Awarded Tenure

- A. Tenure may be awarded to those individuals who have demonstrated ongoing productivity in the general areas of teaching, scholarly and creative activity, and service. Tenure is regarded as recognition for academic attainment in these three areas and as a commitment of the institution to individual faculty members who have distinguished themselves in terms of their capabilities. Faculty members who have been granted tenure, and having therefore, the right to continuous employment in the department, will be expected to continue to achieve at the level of productivity in teaching, scholarly and creative activity, and service defined for their academic rank in Section VI.A. of the SMHS *Guidelines on Promotion and Tenure*.
- B. Tenure Plan
1. Probationary faculty must be provided with a Tenure Plan from the departmental chairperson at the time of their initial employment.
 2. The Tenure Plan is designed to provide a clear statement of the nature of the effort to be made in the areas of teaching, scholarly and creative activity, and service. The primary purposes of the Tenure Plan are to encourage faculty development and to assure accountability. The Tenure Plan will provide an individually prepared blueprint that aids in evaluating performance during annual pre-tenure and tenure reviews. The Tenure Plan is designed to describe the faculty member's goals in teaching, scholarly and creative activity, and service, and to explain how these goals support the needs of the department, the SMHS and the University. Projections made in the Tenure Plan, when compared to the faculty member's progress and achievements, provide one basis for evaluating the faculty member's professional performance.
 3. The Tenure Plan will contain clear statements of the proportion of effort to be given to teaching, scholarly and creative activity, and service in accordance with those reported on institutional Percentage of Effort Forms.
 4. All probationary faculty Tenure Plans will be reviewed annually by the departmental Chairperson and by the departmental CPT. The chairperson and tenured departmental faculty members have a special obligation to assist junior probationary faculty members in following a Tenure Plan that will produce the scholarly and pedagogical growth and achievement needed to attain tenure.
 5. Tenure Plans must be kept current. Any changes that impact a faculty member's ability to follow a previously established Tenure Plan, e.g., personal issues, receiving a large grant, increased teaching load, additional administrative responsibility, changes in criteria for evaluation, should be incorporated into a revision of the Tenure Plan as soon as possible.
 6. As required by SMHS Guidelines on Promotion and Tenure Section VII.B. Tenure Plans take into account the unique mission and composition of the Department of Pathology and encourages strong teaching, strong commitments to research and scholarly activity and contributions to professional service. The actual responsibilities within these three key areas of teaching, research and service, including clinical service for licensed MD's, will vary for each individual faculty member and will be reflected in percent effort.

7. Recommendations for award of tenure in the Department of Pathology can be achieved in the “Basic Scientist Scholar”, “Educator Scholar” or the “Clinical Scholar” Academic Title series. The Department of Pathology will utilize the criteria established in each of these title series “For Promotion to Associate Professor”, along with its specifically articulated criteria as guidelines for tenure decisions.
- C. Non-tenured probationary faculty on tenure track will be evaluated annually, with the final evaluation for awarding of tenure to be completed, in usual cases, in the sixth year of appointment. Evaluations of each tenured faculty member will be conducted by the Department every three years for the purpose of commendation or encouragement of faculty performance and for documentation necessary for the faculty member’s files.

VII. General Departmental Responsibilities for the Evaluation of Faculty Members

- A. Evaluation of all faculty members will be initiated by the departmental chairperson on the schedule indicated in the *SMHS Guidelines on Promotion and Tenure*, Section V.A. When appropriate, evaluation materials will be submitted by the chairperson to the departmental CPT.
- B. The departmental CPT will consist of all tenured members of the department, (excluding the departmental Chairperson), and will elect one of its members as committee chairperson. All recommendations for promotion or the award of tenure require a majority vote of the committee.
- C. Routing of evaluation materials for approval will follow the procedures as outlined in the *SMHS Guidelines on Promotion and Tenure* Section V.C.
- D. All evaluation documents will be treated as strictly confidential. Provision will be made for their use by the Dean of the SMHS, and the SMHS Committee on Promotion and Tenure in deliberation on such matters as promotion, retention, tenure and due process.
- E. At every step of the evaluation process, the faculty member under evaluation will be informed in writing of the summary and recommendations.
- F. If departmental evaluation criteria change, faculty members will be informed immediately.

VIII. Implementation of Faculty Member Evaluation

A. Schedule for Evaluation

1. Non-tenured Faculty Members on Probationary Contracts
 - a. In years 1, 2, and 4 informal written evaluations will be carried out by the departmental chairperson and the departmental CPT. Copies of the report will be given to the individual being evaluated and a copy will be placed in his/her file. A summary of the evaluation and a memo designating the date of the evaluation signed by the chairperson and individual evaluated will be forwarded to the Office of Academic Affairs.
 - b. In years 3 and 5, formal evaluations will be completed by the departmental Chairperson and the departmental CPT. Copies of the final report will be given to the faculty member, placed in his or her departmental file, and sent to the Office of Academic Affairs for consideration by the SMHS Committee on Promotion and Tenure.

- c. In year 6, a formal tenure evaluation will be carried out by the departmental Chairperson and the departmental CPT, and sent with their recommendations to the Office of Academic Affairs for consideration by the SMHS Committee on Promotion and Tenure.
2. **Tenured Faculty Members**
Tenured faculty members will be evaluated every three years by the departmental chairperson and the departmental CPT. Final evaluation reports at post-tenure years 3, 9, 15, etc., will be given to the faculty member and a copy will be placed in his/her departmental file. A summary of the final evaluation report will be sent to the Office of Academic Affairs. The final evaluation report at post-tenure years 6, 12, 18, etc., will be given to the faculty member being evaluated, and a copy will be placed in his/her departmental file. The final report will be forwarded to the Office of Academic Affairs for consideration by the SMHS Committee on Promotion and Tenure.

B. Procedure for Pre-tenure, Tenure and Post-tenure Evaluation

1. The departmental Chairperson will initiate the review process by requesting data from the individual to be evaluated. The individual will be given approximately one month to provide these materials which will be due in the departmental office approximately two months prior to the date that the evaluation (or summary thereof) is due in the Office of Academic Affairs. The materials required are listed in Section VII.C. of this document.
2. Pre-tenure evaluations and the tenure evaluation (ordinarily at year 6), and post-tenure evaluations will be performed in a formal way by the departmental Chairperson and the departmental CPT.
 - a. The departmental faculty will nominate members of the departmental CPT not being evaluated in that year, and tenured members of the SMHS faculty outside the Department of Pathology, to serve on an evaluation subcommittee. The departmental faculty members will elect by secret ballot a subcommittee consisting of two tenured members of the Pathology faculty and one tenured member from another department within the SMHS. The community faculty CPT subcommittee will be similarly constructed, with the addition of faculty members from the area (i.e. physician-pathologist, clinical laboratory scientist, etc.) of the evaluated faculty member. In the case of community faculty, the additional faculty for CPT sub committee review are not required to be tenured or tenure track appointments.
 - b. The evaluation subcommittee will elect its chairperson who will be a member of the Department of Pathology.
 - c. The evaluation subcommittee will be given the charge to consider and discuss the evaluation materials, and to draft an evaluation report. They will be empowered to request more information from administrators, faculty, and students if they believe the information given them is inadequate.
 - d. Following appropriate deliberation, the evaluation subcommittee will draft a written report of its findings.

- e. The draft evaluation report of the subcommittee will be available to members of the departmental CPT (when necessary, with the exception of the individual being evaluated) for revision and/or approval by majority vote.
- f. Following approval, the faculty member being evaluated will be given a copy of the departmental CPT final evaluation report.
- g. The faculty member evaluated will be given opportunity to submit a response to the final departmental CPT evaluation report, which will be combined with, and will become a part of the final evaluation report.
- h. The departmental Chairperson will submit a separate evaluation, which will accompany the departmental CPT final evaluation report.
- i. In post-tenure evaluations at years 3, 9, 15, etc., a memo indicating the evaluation date and signed by the departmental Chairperson and the individual evaluated will accompany a summary of the departmental CPT final evaluation report. This will be submitted to the Office of Academic Affairs by the date established by that office. A copy of the final evaluation report will be placed in the individual's departmental file.
- j. For pre-tenure evaluations, tenure evaluations, and years 6, 12, 18, etc., post-tenure evaluations, the departmental Chairperson will transmit a copy of the departmental CPT-approved final evaluation report to the Office of Academic Affairs by the date established by that office. A copy of the final evaluation report will be placed in the individual's departmental file.
- k. 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. These evaluations will be based on the faculty member's performance and involvement with teaching. 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.
- l. Final evaluation reports forwarded to the Office of Academic Affairs will be accompanied by all data and documentation that formed the bases for the evaluations.

C. Data to Be Collected

The departmental Chairperson will request the following required materials from the faculty member being evaluated for pre-tenure, tenure, post-tenure review, and/or promotion:

1. Summary and self-evaluation of activities in the areas of teaching, scholarly and creative activity, and service.
2. Job description and *Percentage of Effort Forms* for each year of employment.
3. Current curriculum vitae.
4. Tenure Plan (for pre-tenure and tenure review).
5. Student evaluations of teaching. This must include raw data or actual documents and a summary letter from the Office of Medical Education.
6. Written evaluation(s) from faculty member's teaching superior(s) and/or colleague(s).

7. Letter(s) from chair(s) or senior member(s) of committee(s) on which the faculty member has served as member or chair.
8. In the cases of evaluations for promotion to the rank of Associate Professor and Professor, candidates must submit a list of not less than five individuals from peers outside the University of North Dakota to serve as references. These persons should not be former mentors or collaborators of the faculty member being evaluated. From this list, the departmental Chairperson will solicit at least three letters of recommendation asking for opinions regarding the candidate's distinctive contributions to his/her discipline and profession.
9. Other documents or information felt essential by the faculty member.

D. Procedure for Evaluation for Promotion

1. Initiation of Evaluation
 - a. Initiation of evaluation may occur at any time during the Academic Year.
 - b. Recommendations for promotion will normally be initiated within the department by the departmental Chairperson or by the departmental CPT. Faculty members may request consideration for promotion in accordance with appropriate deadlines as outlined in Section VI.C. of the SMHS *Guidelines on Promotion and Tenure*.
 - c. Faculty members may request a review of their eligibility for promotion. For instructors this will ordinarily occur in their fourth year in rank, for Assistant Professors in their sixth year in rank and for Associate Professors in their seventh year in rank.
 - d. The departmental Chairperson will request data (as required in Section VII.C., this document) from the individual to be evaluated. The request usually will occur on or about September 1 and these materials will be due in the departmental office about two months before the evaluations are due in the Office of Academic Affairs.
2. Evaluation procedures for promotion will be conducted as described for tenure evaluations in Section VII.B. of this document.
3. The departmental Chairperson will transmit a copy of the departmental CPT-approved final evaluation report, the appropriate forms for promotion/recommendation (SMHS *Guidelines on Promotion and Tenure*, Appendix I), the departmental Chairperson's letter of evaluation and recommendation regarding promotion, and all accompanying documentation to the Office of Academic Affairs by the date established by that office (usually on or about December 1).
4. The faculty member has the right to withdraw from the promotion process at any point prior to the submission of evaluation materials to the Office of Academic Affairs.

E. Structure of the Departmental CPT Final Evaluation Report

1. The written report submitted by the departmental CPT will be constructed in the following format:
Section I. Preamble, which states the purpose(s) of the current evaluation.

Section II. Teaching, which documents the faculty member's efforts and effectiveness in teaching.

Section III. Scholarly and Creative Activity, which documents the faculty member's efforts and productivity in scholarly and creative activity.

Section IV. Service, which documents the faculty member's efforts in departmental, school, university, professional and community service.

Section V. Summary and Recommendations, which summarize the findings in Sections II – IV. It states directly whether the faculty member has met the criteria for evaluation established by the SMHS and the department in teaching, scholarly and creative activity, and service, cites the relevant evidence and offers recommendations appropriate to the findings.

2. Final evaluation reports submitted to the Office of Academic Affairs will be accompanied by all data and documentation that formed the bases for the evaluation, a separate letter of evaluation from the departmental Chairperson, and (at the faculty member's option) a written response to the report from the faculty member being evaluated.
3. All final evaluation reports will be available for review by the departmental Chairperson, by future departmental CPTs, by the Dean of the SMHS, by the Vice President for Academic Affairs (or their designated committees), in deliberations on such matters as promotion, retention, tenure, and due process.

F. Disposition of the Final Evaluation Reports and Related Documentation for Tenure and/or Promotion

1. For pre-tenure evaluations at years 3 and 5, tenure evaluations (usually at year 6), post-tenure evaluations at years 6, 12, 18, etc., and all evaluations for promotion, the final evaluation reports will be distributed to the individual being evaluated, the departmental file and the Office of Academic Affairs. Each individual being evaluated will be given a copy of the final evaluation report before it is submitted to the Office of Academic Affairs.
2. For post-tenure reviews at years 3, 9, 15, etc., or pre-tenure reviews at years 1, 2 or 4, final evaluation reports will remain intra-departmental and a brief summary of the conclusions will be submitted to the Office of Academic Affairs. The summary will also be accompanied by a memo indicating the date of the evaluation and signed by the departmental Chairperson and the individual evaluated. A copy of the report will be given to the faculty member being evaluated.

IX. Appeals Process

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 Non Renewal, Termination or Dismissal of Academic Staff* (Academic Freedom, Tenure and Due Process, Section II-8.1.1).