



**Department of Population Health**

**Guidelines on Evaluation, Promotion and Tenure**

**UNIVERSITY OF NORTH DAKOTA  
SCHOOL OF MEDICINE AND  
HEALTH SCIENCES**

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# Table of Contents

Introduction .....	1
The Department of Population Health .....	1
Definitions of Scholarly Teaching, Scholarship, and Service .....	4
Faculty Titles .....	8
Academic Faculty	
Scientist Scholar .....	8
Educator Scholar .....	8
Clinician Scholar .....	8
Additional Faculty Titles .....	8
Research Faculty .....	8
Teaching Faculty .....	8
Clinical Faculty .....	8
Adjunct Faculty .....	9
Joint Faculty .....	9
Emeritus Faculty .....	9
Academic Ranks, Criteria, and Characteristics .....	9
Recognized Ranks	
Criteria and Characteristics of Academic Rank .....	9
Instructor .....	9
Assistant Professor .....	10
Associate Professor .....	10
Professor .....	10
Research and Teaching Ranks and Their Associated Criteria and Characteristics .....	11
Research Faculty .....	11
Recognized Research Ranks .....	11
Criteria for Research Rank .....	11
Characteristics of Research Rank .....	11
Teaching Faculty .....	11
Recognized Teaching Ranks .....	12
Criteria for Teaching Rank .....	12
Characteristics of Teaching Rank .....	13
Adjunct, Joint, and Emeritus Faculty Ranks and Their Associated Criteria and Characteristics .....	15
Adjunct Faculty	
Recognized Adjunct Ranks .....	15
Criteria for Adjunct Ranks .....	15
Characteristics of Adjunct Ranks .....	15
Joint Faculty .....	16
Criteria for a Joint Faculty .....	16
Emeritus Faculty .....	17
Emeritus Faculty Rank .....	17
Criteria for a Emeritus Faculty .....	17
Faculty Appointments and Contracts .....	17
Probationary Appointments .....	17

Special Appointments .....	17
Tenure Appointments .....	18
Emeritus Appointments .....	18
Faculty Evaluations .....	18
Purpose .....	18
Initial Hiring of Faculty .....	19
Tenure Plans for Probationary Appointments .....	19
Composition of the Population Health Committee on Evaluation, Promotion, and Tenure .....	20
Schedules and Procedures for Evaluation of Faculty .....	21
Table 1. Evaluation Schedule for Probationary Faculty .....	21
Table 2. Evaluation Schedule for Non-tenure-Track Appointments .....	22
Table 3. Post-Tenure Evaluation Schedule.....	22
Evaluation Process and Routing for Approval.....	23
Appeal .....	25
Procedure for Promotion .....	26
Post-Tenure-Review .....	28
Evaluation, Promotion, and Tenure Criteria.....	28
Criteria for Good, High, and Outstanding Ratings.....	28
Evaluation of Teaching.....	29
Evaluation of Scholarship.....	29
Table 4. Achievement Criteria for Teaching .....	30
Table 5. Evaluation Criteria for Research and Scholarly Activity .....	31
Evaluation of Service .....	32
Table 6. Evaluation Criteria for Service .....	33
Criteria for Promotion: Scientist Scholar .....	34
Table 7: Criteria for Promotion from Assistant to Associate Professor.....	35
Table 8: Criteria for Promotion from Associate to Full Professor.....	36
Criteria for Promotion: Educator Scholar .....	37
Additional Definitions of Scholarly and Creative Activity for Educator Scholars.....	37
Table 9: Criteria for Promotion from Assistant to Associate Professor.....	40
Table 10: Criteria for Promotion from Associate to Full Professor.....	41
Criteria for Promotion: Research Faculty .....	42
Table 11: Criteria for Promotion from Assistant to Associate Professor.....	43
Table 12: Criteria for Promotion from Associate to Full Professor.....	44
Criteria for Promotion: Teaching Faculty.....	45
Table 13: Criteria for Promotion from Assistant to Associate Professor.....	46

Table 14: Criteria for Promotion from Associate to Full Professor.....	47
Criteria for Appointment of Faculty Titles.....	48
Scientist Scholar .....	48
Educator Scholar .....	49
Research Faculty .....	50
Teaching Faculty .....	50
Appendix A: Additional Guidance for the Use and Interpretation of the Population Health Guidelines for Promotion and Tenure.....	51
Appendix B: Recommendation for Promotion in Rank .....	57
Appendix C: Recommendation for Award of Tenure .....	58
Appendix D: Resources for Teaching Evaluations <a href="https://und.edu/academics/ttada/documenting-teaching.html">https://und.edu/academics/ttada/documenting-teaching.html</a> ) .....	59
Appendix E: Portfolio/Dossier Checklists for Academic and Special Appointment for Promotion, Tenure, and Post-Tenure Evaluations.....	62

## INTRODUCTION

### **The Department of Population Health**

The criteria for promotion and tenure in the Department of Population Health and the process of faculty review are consistent with the University of North Dakota School of Medicine and Health Sciences Guidelines on Promotion and Tenure and the Faculty Handbook. The following guidelines include examples of additional criteria used to evaluate the performance of faculty members for promotion, tenure and post-tenure performance.

Each faculty member undergoes an academic evaluation for the purpose of promotion, tenure, and an evaluation schedule as specified in the School of Medicine and Health Sciences (SMHS) Guidelines. The primary purpose of that evaluation is to help improve faculty performance. Required information for the evaluation process includes documentation of faculty activities in the areas of teaching, patient care (if applicable), scholarly and creative activity, contribution to one's discipline, and professional and community service. Not all faculty members will have similar duties and responsibilities but each faculty member must have activity in areas detailed in her/his contract and/or position description that is consistent with his/her academic appointment. The Department Chair and each individual faculty member will mutually agree upon the faculty member's relative contributions in each area. For faculty whose direct supervisor is not the Department Chair, the supervisor and faculty develop the % effort formula based on program needs. Each faculty member will be evaluated relative to his/her individual duties and responsibilities. For example, the evaluation of a faculty member whose efforts are largely devoted to teaching will not be expected to have the same accomplishments in research (and *vice versa*) as faculty members whose efforts are concentrated in other areas.

The key evaluation instrument is the faculty portfolio, which documents activities in teaching, patient care, scholarly and/or creative activity, contribution to one's discipline or profession, and professional and community service. If applicable, University course ratings should be included. The faculty portfolio also contains the faculty position description and percentage of effort in each area. The Department of Population Health Committee on Promotion and Tenure (DPH CPT) reviews all faculty portfolios and prepares a summary that is submitted to the Department Chair.

The following document outlines the procedures and criteria for faculty evaluations within the department of Population Health. The appendices to this document contain critical additional information for interpreting and applying the standards, procedures, and criteria contained in this document. Faculty and faculty evaluators are expected to understand and use all the information contained in this document, including the appendices, in the process of faculty evaluation for tenure and/or promotion. In addition, the faculty are referred to the SMHS Guidelines, which are also in effect regarding procedures and criteria for faculty evaluations.

### **GENERAL PRINCIPLES AND RESPONSIBILITIES**

Because the School and its faculty have 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.

#### **Faculty Responsibilities:**

Each faculty member should be familiar with the University Faculty Handbook and the *Guidelines*.

## **Administrator Responsibilities:**

The administrator should be familiar with UND 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 (Faculty Handbook I-1, 1.2).

## **Departmental Responsibilities:**

The Faculty Handbook I-4, 4.2 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 School will:

1. Develop procedures for evaluation of faculty for promotion, tenure and post-tenure performances 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 evaluation, promotion and tenure to the School CPT for review and approval. Prior to submission, the standards and criteria must be approved by a majority vote of all departmental academic faculty members, both tenured and non-tenured.
4. Independently evaluate each dossier submitted. Review and make recommendations on promotion using only the approved criteria established by the department.
5. Independently evaluate each dossier submitted. Review and make recommendations on the award of tenure using only the approved criteria established by the department.
6. Review and provide counsel regarding the credentials of individuals for appointment within faculty title series and rank.

## **Committee on Evaluation, Promotion and Tenure (CPT) Responsibilities:**

The Faculty Handbook I-4, 4.2 recognizes the role of the department in reviewing departmental procedures, providing equity of assessment throughout the community. Accordingly, and as per the [School Bylaws](#) and the Faculty Academic Council, the School Committee on Evaluation, Promotion, and Tenure (School CPT) will:

1. Develop policy and procedure in the form of School Guidelines for conducting periodic performance reviews and recommendations for promotion and tenure of faculty of the School. Such policies will be based upon guidance from the University Faculty Handbook. The Faculty Academic Council must approve proposed policies developed by the School CPT before they may be promulgated.
2. Ensure that every department develops promotion and tenure guidelines for their faculty consistent with the School CPT Guidelines.
3. Approve all departmental guidelines for promotion and tenure of faculty to ensure comparable processes throughout the School and conformity with University and System rules, policies and procedures.
4. Independently evaluate each dossier submitted to the School CPT. Review and make recommendations on promotion using only the approved criteria established by the submitting department.
5. Independently evaluate each dossier submitted to the School CPT. Review and make recommendations on the award of tenure using only the approved criteria established by the submitting department.
6. Review and provide counsel regarding the credentials of individuals for appointment within faculty title series and rank.

The School CPT will define materials and documentation needed for probationary, promotion, tenure, and post-tenure reviews. The School CPT must base its evaluation and recommendations solely upon the information supplied by the faculty member and department; it is imperative that the faculty member supply all necessary data and appropriate documentation. A fact cannot be assumed as known, if not stated.

It is critical that promotion and the 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, promotions and tenure are to be based on the consistency and quality of:

- Scholarly and creative activities, including distinctive, peer accepted contributions to one's discipline or profession;
- Performances in teaching, including curriculum design, course development, content delivery, and assessment;  
and
- Service to the department, the School, the University, the profession, and society.

Faculty members' contributions to each of these areas may vary within the confines of a written job description and percent of effort distributions. 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).

## **Definitions of Scholarship, Scholarly Teaching, and Service**

**Scholarship:** Scholarship primarily refers to conducting and publishing scholarly pursuits by faculty in areas of professional choice. The various dimensions of scholarship include teaching, discovery, integration, and application. In accordance with the SMHS school-wide Guidelines on Evaluation, Promotion, and Tenure, the Department of Population Health subscribes to the definitions of scholarship proposed by Boyer (EL Boyer, *Scholarship Reconsidered: Priorities of the Professoriate*, Josey-Bass, 1990) which recognizes that 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). Note that the latter is distinct from the *practice* of teaching *per se*.) Faculty are encouraged to familiarize themselves with Boyer's definitions as these comprise a widely recognized taxonomy for scholarly activity.

Following the SMHS, the Department of Population Health utilizes the following criteria to define the essential characteristics of scholarship:

- The faculty member's efforts result in a tangible product or output (hereafter referred to as "work");
- The work is made public and is available outside of the institution and the region;
- The work is subjected to external peer review/critique by other scholars in the field;
- The work must be reproducible and form a foundation for the work of other scholars.

Note that the educator scholar track further defines scholarship to include the generation of effective and innovative teaching materials using accepted best practices of analysis, design, development, implementation, and evaluation (both formative and summative). As such, work products designed for teaching, including websites and other digital materials, constitute scholarship. The above guidelines are advisory and are not intended to contradict existing definitions as outlined elsewhere in this document.

Because significant changes in scholarly publication have occurred since the publication of Boyer's definitions, including the advent of electronic publications, the Department of Population Health has established additional guidelines for scholarly publication. These guidelines are fully explicated in the appendices to this document. Faculty and faculty evaluators are expected to use these appendices for clarification and explication in applying standards for promotion and tenure.

Scholarship is divided into major and minor categories as described below. These classifications are used in the evaluation of scholarship throughout the rest of this document. Note that these are examples and that faculty are encouraged to make the case for different categorization or additional publication types where and when they feel a case can be made for them to count as major or minor publications.

- 1) Major Publications/Scholarship
  - a) authorship



- i) authorship -- first or sole author of a refereed scholarly article in a nationally or internationally disseminated journal
  - ii) second author on multi-author refereed scholarly article in a nationally or internationally disseminated journal IF the collaboration merits it (faculty member must provide evidence in dossier that shows effort on their part that is equivalent to that of a first or sole author)
  - iii) second or lower author on multi-author refereed scholarly article in a nationally or internationally disseminated journal IF there are multiple articles that emerge from the same study AND the candidate is first author on at least one of those other publications (faculty member must provide evidence in dossier)
- 2) scholarly book chapter
  - 3) scholarly book—not self-published (counts for 2 or more publications)
  - 4) edited scholarly book (MAY count for 2 publications if prestige and effort warrant) (faculty member must provide evidence in dossier)
  - 5) editor of refereed conference proceedings
  - 6) article in refereed conference proceedings
  - 7) scholarship resulting in a nationally or internationally disseminated publication<sup>1</sup>
  - 8) publications that a faculty member can provide strong support for why they should be considered major
  - 9) invited articles published in a high-profile publication or refereed journals
  - 10) funded competitive grants which are research-based or, for large education-based projects (external grants, UND Senate seed money grants, etc.)
  - 11) grant or contract-related report and publications for which a case can be made for peer review and quality
  - 12) edits a journal or significant publication, especially if on a long-term basis
- 13) Minor Publications/Scholarship
    - a) fourth or more authorship of a refereed scholarly article in a nationally or internationally disseminated journal UNLESS part of a collaborative effort which results in several multiple-author publications of which the faculty member is first author on at least one occasion
    - b) book reviews
    - c) non-refereed and other publications that a faculty member can provide strong support for why they should be considered a minor publication, i.e. case studies
    - d) reviews, proposals or manuscripts, including books, for significant venues
    - e) edits journal or other publication on a limited basis

Scholarly presentations include refereed and invited state, regional, national, or international conference presentations. Faculty must provide documentation that presentations were invited or proposed, accepted and delivered, and the competitive nature of the conference.

**Scholarly Teaching:** For faculty evaluation purposes, scholarly teaching refers to responsibility for planning, implementing and assessing instruction; supporting student learning; and cooperating with departmental programs and processes (e. g, timely submission of grades, use of technology initiatives, adherence to and consideration of accreditation standards). Evaluation of teaching focuses on courses but also includes learning situations such as individualized student courses, field experience supervision, *practica* and internships. Teaching also involves keeping courses updated for content, pedagogy and assessment data. Faculty evaluation of teaching includes course work taught as part of load, including online teaching.

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<sup>1</sup> Note that “publication” of instructional materials may take multiple forms, including Websites, and software, etc. It is incumbent on the candidate to provide evidence and rationale for the form and quality of the publication.

The following are **examples** of 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 fellows, graduate students, residents, undergraduate students, advisees, and/or research assistants.
- Directing graduate student research and/or scholarly activity through completion of master's or doctoral degrees (e.g., as in the Masters in Public Health Program).
- Conducting faculty development presentations, workshops, or grand rounds regarding education (e.g., conduct workshops for colleagues on patient centered learning)
- Curriculum development and/or course design
- Curriculum delivery Lectures, Grand Rounds
- Organizing and delivering Continuing Medical Education (CME) classes
- Laboratory experiences
- Seminars
- Group Facilitating
- Clinical or Fieldwork experiences
- Demonstration of skills, techniques, etc.
- Tutorials
- Discussion leadership
- Participation in Residency or Training Programs
- Outpatient and/or inpatient bedside teaching

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

- Student evaluations (summary or composite)
- Letters from students
- Supervisor and/or peer assessments regarding: Quality and appropriateness of course material
- Degree of preparation, structure and balance within a class
- Availability and effective guidance outside of class
- 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 UND 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)
- Substantial course changes, video productions, computer software usage
- Innovative teaching techniques
- List of graduate students, residents, undergraduate students, advisees, and/or research assistants who were mentored

- List workshops, presentations, grand rounds, etc. that were presented or coordinated within or outside the University

**Service:** Service is defined as providing assistance to individual(s) or organization(s) associated with one's professional role. There are three areas of such service. The first is service to the institution through such activities as committee work (university, college, and departmental levels), curriculum design, assessment coordination, and other work that fulfills the mission and strategic planning of the department, college, and university. Program area coordination both at the graduate and undergraduate level, for both on-campus and distance programs is considered a special form of service to the department and is evaluated as service (e.g., not as administration). The second area is service to one's profession, via service to professional societies and/or recognized practitioners in the field. The faculty member being evaluated must describe the nature of the work, which often includes being involved in a professional organization by reviewing proposals or manuscripts, holding office in the professional society/organization, conference planning, a non-refereed presentation or publication. The third area is service to one's community through work in schools, agencies, or institutions related to one's professional role. The quality of participation is relevant to evaluating service activity.

The following are **examples** of Service:

- 1) Service to the institution
  - a) Committee membership and/or leadership at the program area, department, college and university levels
  - b) Undergraduate program area coordination
  - c) Directing a graduate program
  - d) Program planning and development
  - e) Authors departmental reports or documents
  - f) Coordinates a special service (e.g., assessment planning)
  - g) Curriculum design and development (e.g., create a new course, block of curriculum changes, develop a new minor or degree program)
  - h) Obtains grants to improve programs and curriculum
  - i) Mentors faculty and/or students in significant ways (e.g., Alice Clark, Fulbright or honors program or presenting)
  - j) Sponsors or presents at faculty seminars, SGID facilitator, etc.
  - k) Other department, college, and/or university mission-related and/or strategic plan work
  - l) Participates in departments tasks that support students (e.g., capstone tasks)
  - m) Participates in department tasks that support faculty (e.g., serves on faculty evaluation committees)
  
- 2) Service to the profession
  - a) Holds office in professional organizations (international, national, state, local)
  - b) Plans a conference
  - c) Reviews conference proposals
  - d) Speaks or presents in non-refereed situations  
Sponsors a student organization
  - e) Administers a grant (e.g., service or teaching grant)
  
- 3) Service to the community
  - a) Involved with schools/colleges/universities (e.g., accreditation, workshops, consults/advises)
  - b) State level committee membership (e.g., curriculum standards development, policy planning)
  - c) Serves on boards, liaison, representative, external reviewer to schools/colleges/universities

## FACULTY TITLES

### **Academic Faculty**

Faculty members with an academic appointment, scientist scholar, educator scholar or clinician scholar, contribute to the mission of the School and UND in all three areas of scholarly and/or creative activity, teaching, and service. An academic appointment may be probationary, tenured, or special (non-tenured).

### ***Scientist Scholar***

The Scientist Scholar designation is for faculty who discover and disseminate new knowledge or new insights into existing knowledge and who, in addition, are effective teachers and are actively involved in academic or professional service.

### ***Educator Scholar***

The Educator Scholar designation denotes faculty who teach, provide educational leadership, curriculum development and administration. Faculty members in this title series are engaged in scholarly and creative activities focused on education or teaching and/or creative scholarship within their discipline or profession. Educator Scholars are actively engaged in academic or professional service.

### ***Clinician Scholar***

The Clinician Scholar designation is for faculty members with demonstrated excellence in patient care, teaching, and administrative service as well as scholarship and creative activities that typically relate to these areas. Clinician Scholars are actively involved in academic or professional service. The department of Population Health does not typically hire in this track and therefore does not have department-specific guidelines for Clinician Scholar, relying instead on the SMHS committee on promotion and tenure guidelines.

### **Additional Faculty Titles**

Faculty members who actively contribute to the mission of the SMHS in one or more primary areas of scholarship, teaching or service may have a special appointment (non-tenured) in the following series:

#### ***Research Faculty***

Research faculty are dedicated to supporting the research mission of the school. These faculty members have a primary focus in research but may also contribute to other missions of the department.

#### ***Teaching Faculty***

Teaching faculty are dedicated to supporting the teaching mission of the school. These faculty members have a primary focus in teaching but may also contribute to other missions of the department.

#### ***Clinical Faculty***

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 occasionally they may contribute to the service, scholarship and administrative missions as well. The department of Population Health does not typically hire clinical faculty and therefore does not have department-specific guidelines, relying instead on the SMHS committee on promotion and tenure guidelines.

### *Adjunct Faculty*

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

### *Joint Faculty*

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

### *Emeritus Faculty*

Emeritus status may 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/emerita status shall not include salary or other compensation or other rights, except privileges specified in institution policies or procedures.

## **RANKS, CRITERIA FOR RANK, and CHARACTERISTICS of ACADEMIC RANK: SCIENTIST SCHOLAR, EDUCATOR SCHOLAR, and CLINICIAN SCHOLAR FACULTY**

### **Recognized Ranks**

Instructor  
Assistant Professor  
Associate Professor  
Professor

### **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 School and University for the rank requested.

### **Characteristics of Academic Rank**

Listed below are characteristics of rank in the academic title series of scientist scholar, educator scholar and clinician scholar, 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, Master's degree or equivalent training and/or
- Significant clinical experience commensurate with a terminal degree

##### **Experience:**

- Demonstrated potential as a teacher, researcher or both
- Engaged in professional development

## **Assistant Professor**

### Education:

- Earned doctorate or other degree considered a terminal degree by the discipline, and/or
- Significant clinical experience commensurate with a terminal degree

### Postgraduate training:

**Postgraduate training criteria apply to Associate Professor and Professor ranks as well**

- Faculty members with the M.D. degree should have completed residency training to board eligibility, if appropriate
- Board certification in the discipline, if available or applicable
- Faculty members with the Ph.D. or other terminal degree will be expected to have completed postdoctoral training or equivalent experience, if appropriate in their area of specialization at the time of training
- Others should be eligible for professional certification in their fields, as 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: As delineated for appointment as Assistant Professor

### Experience:

- 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

## **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: As delineated for appointment as 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 profession
- Recognition for professional and community service

## **RANKS, CRITERIA FOR RANK, and CHARACTERISTICS of RANK: RESEARCH, TEACHING, AND CLINICAL FACULTY APPOINTMENTS**

### **Research Faculty**

#### **Recognized Research Ranks**

Research Assistant Professor  
 Research Associate Professor  
 Research Professor

#### **Criteria for Research Rank**

Individuals possessing appropriate degrees and whose primary area of emphasis is research and research-related activities within biomedical, social, population, health or clinical sciences, may be eligible for a research rank. The research faculty member may participate in the educational activities of the department.

A research faculty person may be a member of a Basic Science, Health Science, or Clinical Science department.

#### **Characteristics of Research Rank**

##### **Research Assistant Professor**

###### Education:

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

###### Postgraduate training:

**Postgraduate training criteria apply to Associate Professor and Professor ranks as well.**

- 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:

As delineated for appointment as Research Assistant Professor

### Experience:

- Demonstrated record of excellence in research, either as a principal investigator or in support of a principal investigator
- Demonstrated research productivity as a contributor to the dissemination of research outcome through publication or presentation or other methods appropriate to the department
- Effectiveness in departmental and professional service

## **Research Professor**

The rank of Research 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.

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: As delineated for appointment as Research Assistant Professor

### Experience:

- Evidence of being an independent investigator with extramural funding
- Evidence of maintaining a research program of high quality and appropriate quantity
- Demonstrated research productivity, i.e., publications including peer-reviewed articles, book chapters and invited reviews.
- Recognition for continued contributions to the department and profession

## **Teaching Faculty**

### **Recognized Teaching Ranks**

Teaching Instructor

Teaching Assistant Professor

Teaching Associate Professor

Teaching Professor

### **Criteria for Teaching Rank**

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



A teaching faculty person may be a member of a Basic Science, Health Science, or Clinical Science department.

## **Characteristics of Teaching Ranks**

### **Teaching Instructor:**

#### Education:

- Earned Bachelor's degree, Master's degree or equivalent training, and/or
- Significant teaching experience commensurate with a terminal degree
- Potential for effectiveness as a teacher

### **Teaching Assistant Professor**

#### Education:

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

#### Postgraduate training:

**Postgraduate training criteria apply to Associate Professor and Professor ranks as well.**

- 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, require 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/licensure in their fields, if applicable

#### Experience:

- Demonstrated ability in teaching with good student and/or peer evaluations
- Potential for effectiveness in scholarly and creative activity
- Potential for effectiveness in departmental and professional service

### **Teaching Associate Professor**

#### Education:

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

#### Postgraduate Training:

As delineated for appointment as a Teaching Assistant Professor.

#### Experience:

- Demonstrated record of excellence in teaching with excellent student and/or peer evaluations
- Demonstrated teaching productivity
- Potential to assume leadership roles in education and curriculum development
- Demonstrated scholarly productivity in the area of education

- Demonstrated regional/national reputation in education
- Demonstrated effectiveness in Departmental, School, and professional service

## **Teaching Professor**

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

### **Education:**

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

### **Postgraduate Training:**

As delineated for appointment as a Teaching Assistant Professor.

### **Experience:**

- Continued superior performance, achievement, and recognition as a scholarly teacher
- Demonstrated sustained scholarly productivity in the area of education
- Demonstrated leadership roles in education and curriculum development
- Evidence of funding
- Demonstrated leadership in departmental activities and/or the professional discipline
- Recognition for continued contributions to the Department, School and Profession

## **Clinical Faculty**

### **Recognized Clinical Faculty Ranks**

Clinical Instructor

Clinical Assistant Professor

Clinical Associate Professor

Clinical Professor

### **Criteria for Clinical Rank**

Individuals possessing the appropriate degree(s) as defined by the clinical department and willing to contribute to the mission of the School in one or more areas of teaching, scholarly activity and service may be eligible for a clinical rank.

### **Characteristics of Clinical Rank**

#### **Clinical Instructor**

- Demonstrates potential as an educator
- Willing to engage in up to 100 hours per year teaching

#### **Clinical Assistant Professor**

- Board eligible or Board certified in his or her discipline, if applicable.
- Post degree experience, if applicable
- Demonstrated three years of teaching experience
- Engages in a minimum of 100 hours per year teaching or engaged in scholarly activity

### **Clinical Associate Professor**

- Board certification (if applicable)
- Three or more years teaching or research experience
- Demonstrated teaching effectiveness
- Evidence of playing an important role in departmental teaching activities
- Engaged in 100 hours or more per year teaching or engaged in scholarly activity of high quality and appropriate quantity

### **Clinical Professor**

Demonstrated leadership in departmental activities and/or the professional discipline

- Board certification (if applicable)
- Eight or more years of teaching or research experience
- Demonstrates effective teaching
- Engaged in 200 or more hours per year teaching or engaged in scholarly activity of high quality and with evidence of support

## **RANKS, CRITERIA FOR RANK, AND CHARACTERISTICS OF RANK FOR ADJUNCT, JOINT, AND EMERITUS FACULTY APPOINTMENTS**

### **Adjunct Faculty**

#### **Recognized Ranks**

Adjunct Instructor

Adjunct Assistant Professor

Adjunct Associate Professor

Adjunct Professor

#### **Criteria for Adjunct Rank**

Individuals possessing the appropriate degree for their profession from an accredited institution and who can demonstrate ability in research, teaching, or clinical activity, depending on the proposed role as an adjunct faculty member may be eligible for appointment as an Adjunct Faculty member. The adjunct faculty member may be appointed from elsewhere in the University or from the community at large.

#### **Characteristics of Adjunct Rank**

##### **Adjunct Instructor**

###### Education:

- Earned Bachelor's degree or equivalent training

###### Experience:

- Demonstrated potential as a teacher or researcher
- Engaged in professional development

##### **Adjunct Assistant Professor**

###### Education:

- Possession of a terminal degree for the profession

Experience:

- Demonstrated ability in clinical activity, scholarly and/or creative activity or teaching, depending on the proposed role as an adjunct faculty member

**Adjunct Associate Professor**

Education:

- Possession of a terminal degree for the profession

Experience:

- Demonstrated sustained role in departmental educational activities in ONE or more of the following areas: direct teaching; advising or mentoring; learner assessment; the creation of educational materials.
- Local and regional recognition in research (if applicable)
- Demonstrated evidence of high impact and quality teaching in departmental educational or research programs
- Local and regional recognition in the practice of clinical specialty (if applicable)
- Demonstrated effectiveness in departmental and professional service
- Evaluations reflecting satisfactory performance by students, residents and other faculty members

**Adjunct Professor**

Education:

- Possession of a terminal degree for the profession

Experience:

- Demonstrated high impact, high quality, and excellence in activities of direct teaching; advising or mentoring; learner assessment; or creation of educational materials
- Recognition as a role model, teacher and leader in educational practices
- Demonstrated and sustained scholarly activity within his or her discipline, and consistent with his or her role as an adjunct faculty member
- Demonstrated leadership in clinical activity, teaching or research consistent with his or her role as an adjunct faculty member
- National or international recognition for clinical care, clinical or basic research, education, and/or service
- Demonstrated leadership in national and international organizations

**Joint Faculty**

**Joint Faculty Rank**

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

**Criteria for a Joint Faculty**

Individuals possessing the criteria for rank as defined by each department and who are willing to contribute to the missions of the School and Department in one or more areas of scholarly and/or creative activity, teaching, and service may be eligible for a joint rank.

## **Emeritus Faculty**

Emeritus status may be conferred upon retirement or after retirement to faculty or senior administrators or professionals pursuant to institution policies and procedures. (Faculty Handbook I-3, 3.4).

## **Emeritus Faculty Rank**

Equivalent to the rank at which the faculty member was appointed prior to retirement.

## **Criteria for Emeritus Faculty**

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.

# **FACULTY APPOINTMENTS AND CONTRACTS**

Faculty appointments shall be probationary, tenured, or special (non-tenured).

## **Probationary Appointments**

Probationary appointments entail tenure-track contracts. Probationary contracts of the faculty of the school will be based on two criteria: source of funding and academic rank, i.e., in order for faculty members to be considered tenure eligible, they must:

- Be initially (or subsequently) fully funded from State General Fund appropriations available for that individual's tenured salary, and
- Carry a probationary academic faculty rank (instructor, assistant professor, associate professor or professor).

Probationary contracts may lead to a full-time tenured appointment. Early tenure (after four or five years) will be recommended only in exceptional cases. Under normal circumstances, a probationary contract will not be granted for a period longer than six years. The term may be extended beyond six years or the continuous service requirement may be waived in exceptional circumstances. If tenure is not granted and a seventh-year contract is issued, it must be terminal, unless an extension has been granted.

## **Special Appointments**

Special appointment contracts do not typically involve either tenure credit or status, but they also do not exclude an opportunity for a tenured appointment:

*“The Board may, following review and recommendation made pursuant to the procedures established at an institution award tenure in exceptional circumstances, defined by the institution's procedures, to any person appointed to the faculty who has not met the eligibility requirements of subdivisions 3(b) and 3(c) of this policy, provided that the person has a documented record of outstanding achievement and consistent excellence in a discipline or profession gained through research, scholarly or professional activities, or service.” (SBHE Policy 605.1, 4biii).*

Faculty employed under a special appointment contract may be considered for tenure after six years of full-time continuous service based upon two criteria (criteria identified previously and in the Faculty Handbook I-8, 8.2, G):

- 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.
- The faculty member carries an academic faculty rank (instructor, assistant professor, associate professor or professor) in that department.

The following types of special appointments do not involve tenure credit or status: courtesy adjunct appointments, research title appointments, teaching title appointments, clinical title appointments, visiting appointments, graduate teaching assistant appointments, postdoctoral fellowships and clinical appointments, appointments of retired faculty on special conditions, 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 years, special title appointments, lectureship appointments, part time appointments , or administrative or coaching positions.

### **Tenure Appointments**

Eligibility for tenure typically requires a probationary period of six years of continuous academic service to the school. A faculty member may be recommended for tenure by satisfying the criteria developed by the department, school, and university. The criteria shall include scholarly teaching; contribution to a discipline or profession through research; other scholarly or professional activities; and service to the institution and society.

If any individual is appointed to an academic (or) 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 administrator-teachers, especially those relating to scholarly activity and service to students, will be similar to those regularly used in the department/college.

### **Emeritus Appointment**

Emeritus status may be conferred upon retirement or after retirement to faculty or senior administrators or professionals pursuant to institution policies and procedures.

## **FACULTY EVALUATIONS**

### **Purpose**

The major purpose of an evaluation is to help the faculty member improve his or her performance.

Faculty evaluations will be conducted in accordance with the guidelines established by the department, School, and University, keeping in mind the uniqueness of the individual's responsibilities and departmental mission. Specifically, an evaluation should focus on the departmental and school criteria and the faculty member's accomplishments as related to his or her title, rank, and percent of effort distributions. Evaluations by departmental and School Committees on Evaluation, Promotion and Tenure address the faculty member's accomplishments in research/scholarly activity, teaching, and service; administrative components of a contract are not evaluated by committees on promotion and tenure. For joint appointments, evaluations will be conducted by the primary department with input from the secondary (joint) department if requested.

Procedures and guidelines for the evaluation of probationary, tenured, and special appointment faculty provide means whereby the performance of individual faculty members and their contributions

to the department and University community may be equitably assessed and documented. An evaluation should commend faculty for outstanding performance and/or encourage faculty to strengthen weaknesses as well as improve in already strong areas.

Faculty will be evaluated in the areas of teaching, scholarly and/or creative activity, distinctive contributions to the discipline and profession of population health, professional and community service, and patient care (if clinical faculty). The contribution of individual faculty members to each area will be mutually agreed upon by the Department Chair and/or the Program Director, if applicable, and the individual faculty member. The effort agreed upon will be reflected in the position description and the effort percentage form, as submitted annually. For evaluation purposes, the position description and the effort percentage 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, distinctive contributions to one's discipline and profession, professional and community service and patient care shall be according to the promotion criteria. Note the primary responsibility for providing this documentation rests with each faculty member. As emphasized in the Faculty Handbook, a fact cannot be assumed if not stated.

### **Expectations for All Participants in the Evaluation, Promotion and Tenure Processes**

Confidentiality: The overall evaluation, promotion and tenure processes allow for feedback to faculty candidates at appropriate times and through appropriate academic administrators. All aspects of the evaluation, promotion and tenure processes are otherwise confidential, including deliberations in committees and the specific decisions that are made at each review level, which will be revealed at the appropriate times by the appropriate persons. Members of promotion and tenure committees participate with the understanding that all matters related to their deliberations remain confidential. In addition, faculty candidates under review are discouraged from approaching committee members at any time concerning the disposition of their review and should understand that inquiries of this type are deemed entirely inappropriate. Confidentiality of the promotion and tenure process is to be respected at all times, not just during that particular year of review.

### **Initial Hiring of Faculty**

At the time of hire, the Department Chair will discuss the position's expectations with the new faculty member, including expectations for allocation of percentage of effort in the areas of scholarly activity, teaching, and service in accordance with the mission of the Department of Population Health. This agreement will be documented with both parties indicating approval in writing and the resulting document will become part of the new faculty member's permanent record. The Department Chair will provide the new faculty member with copies of the Department of Population Health Guidelines for Evaluation, Promotion, and Tenure, the SMHS Guidelines on Evaluation, Promotion, and Tenure, and the University of North Dakota Faculty Handbook.

### **Tenure Plans for Probationary Faculty**

A tenure plan should be developed by the Department Chair and the probationary faculty member. The tenure plan is designed to provide a clear statement of the effort to be made in the areas of research and scholarly activity, teaching, and service during the faculty member's probationary period. The primary purposes of the tenure plan are to encourage faculty development and to assure accountability. The tenure plan will provide an individualized blueprint to aid in evaluating performance during annual pre-tenure and tenure reviews. In general, the tenure plan will involve projections for teaching, service, publications and for grant submissions, as these are traditional metrics of academic success. The tenure plan is designed to describe the faculty member's goals in

teaching, scholarly activity, and service, and to explain how these goals support the needs of the Department, the SMHS, and the University of North Dakota.

Tenure plan projections, when compared to the faculty member's progress and achievements, provide one basis for evaluating the faculty member's professional performance. Tenure plans should be kept current and reviewed annually. Changes that influence a faculty member's ability to follow a previously established plan (e.g., personal issues, receiving a large grant, increased teaching load, or additional administrative responsibility) should be incorporated into a revision of the tenure plan as soon as possible, or at least annually.

### **Composition of the Population Health Committee on Evaluation, Promotion, and Tenure**

The Department's promotion and tenure committee shall be the same for special appointment, probationary (tenure track) and tenured faculty. This committee must consist of a minimum of three faculty members drawn from all tenured faculty members in the department. Only those faculty members at the rank of Associate Professor or Professor, excluding the Department Chair, are eligible to be members of the committee. Membership on the committee will be approved by a yearly vote of the department full-time 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. If a vacancy occurs the Department Chair and committee chair may appoint, by mutual consent, another faculty to fill the committee position. 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.

### **CPT Committees for the Review of a Departmental Chair**

Departmental faculty will select up to two senior level faculty members from outside the department to serve on the departmental CPT for the evaluation of the departmental chair.

Evaluation of the departmental chair will consider his or her academic title, rank, and performances in scholarly and/or creative activity, teaching, and service. The evaluation will be based upon his or her percent of effort distributions; the dossier; and departmental and SSMH *Guidelines*. The chair's administrative performance is not to be addressed by the departmental or School Committees on Evaluation, Promotion and Tenure.

#### *For Departments within the Basic, Health and Clinical Sciences*

In addition, the appropriate Associate Dean (Health Sciences or Medicine and Research), will assist in the review. The Associate Dean will collect needed information (e.g., letters from external reviewers) and provide an independent evaluation as related to the chair's faculty appointment.

The departmental CPT and Associate Dean evaluations will be forwarded to the Office of Education and Faculty Affairs.



## Schedule and Procedures for Evaluation of Faculty

The evaluation schedule is determined by the School of Medicine & Health Sciences Office of Education and Faculty Affairs as outlined in the SMHS Guidelines on Promotion and Tenure. The faculty title series and whether the faculty member is tenured, tenure track or non-tenure track determines the evaluation schedule.

Evaluations will be completed by the department's promotion and tenure committee; the committee's recommendations will be forwarded to the department chair, who will write an independent evaluation of the faculty member. Tables 1–3 present evaluation schedules for faculty in each of the academic and clinical title series.

Faculty evaluation materials are due in the departmental office two months prior to the date that the evaluation (or summary thereof) is due in the Office of Education and Faculty Affairs.

The following are general guidelines for faculty evaluations:

1. Evaluations are to be a constructive process whose principal goal is assisting faculty in professional development as teachers and scholars.
2. Emphasis of the evaluation process will be on the supportive function of the evaluation as well as the necessary function of providing a basis for personnel action decisions.
3. Evaluations are to be conducted in accordance with the timetable determined by the School of Medicine and Health Sciences.
4. The faculty member is responsible for maintaining the necessary documentation and making it available in the proper form on a timely basis.
5. Evaluations must include an assessment of the faculty member's teaching performance. (These criteria do not apply to research faculty who do not have a significant teaching role.)
6. Evaluations may include stipulated conditions for improved performance by which the individual will be appraised in subsequent evaluations.
7. The Department Chair, program director (if applicable), the Committees on Promotion and Tenure of the department and of the School of Medicine & Health Sciences, the Education and Faculty Affairs office and the Dean have access to this information.

The UND Policy on Teaching Evaluation (<http://www1.und.edu/academics/ttada/faculty-development/documenting-teaching-evaluation-policy.cfm>) should be followed. (See Appendices)

**Table 1. Evaluation Schedule for Probationary (tenure-track) Faculty.**

Year	Fall Semester	Spring Semester	Chair	Dept. CPT	School CPT	Dossier Content for School CPT (See Checklist)
1		X	X	X		
2		X	X	X		
3		X	X	X	X	Complete CV Chair & Dept. CPT Letters, Years 1-3 Content/Support Documents from Years 1-3
4		X	X	X		
5	X		X	X	X	Complete CV. Chair & Dept. CPT Letters, Years 1-5 Dossier Content/Support Documents, Years 1-5
6	X		X	X	X	Complete CV Chair & Dept. CPT Letters, Years 1-6 Content/Support Documents, Years 1-6

**Table 2. Evaluation Schedule for Academic Faculty: Scientist Scholars, Educator Scholars, or Clinician Scholars on Special Appointment**

Year	Fall Semester	Spring Semester	Chair	Dept. CPT	School CPT	Dossier Content for School CPT (See Checklist)
1 - 5		X	X	X		
6		X	X	X	X	Complete CV. Dossier Content (Letters and Content/Support Documents) focused on all years since appointment.
9, 12, 15, 18, ...		X	X	X	every 6 years	Complete CV. Dossier Content (Letters and Content/Support Documents) focused on the past 6 years.*
One year before promotion request				X	X	Complete CV. Dossier Content (Letters and Content/Support Documents) focused on all years since appointment, or if previously promoted, the years since the last promotion.
Request for Promotion	X		X	X	X	Complete CV. Dossier Content (Letters and Content/Support Documents) focused on all years since appointment, or if previously promoted, the years since the last promotion.

\*If the faculty member has been promoted within the middle of a 6-year cycle, the schedule for review (i.e., every 6 years), is reset to '0' at the year of promotion.

**Table 3. Post-Tenure Evaluation Schedule.**

Year	Fall Semester	Spring Semester	Chair	Dept. CPT	School CPT	Dossier Content (See Checklist)
3, 9, 15...		X	X	X		
6, 12, 18 ...		X	X	X	X	Complete CV. Chair & Dept. CPT letters since last School CPT review (usually the past 6 years). Content/Support documents for all years since last School CPT review.
Promotion	X		X	X	X	Complete CV. Chair & Dept. CPT letters since last promotion. Content/Support documents for all years since last promotion.

**Table 4a: Evaluation Schedule for Research Faculty and Teaching Faculty**

Year	Fall Semester	Spring Semester	Chair	Dept. CPT	School CPT	Dossier Content for School CPT <a href="#">Checklist for Promotion</a>
1 - 6		X	X	X		
9, 12, 15 ...		X	X	X		
One year prior to a request for promotion				X	X	Complete CV. Chair & Dept. CPT letters since last promotion. Content/Support documents for all years since last promotion.
Request for Promotion	X		X	X	X	Complete CV. Chair & Dept. CPT letters since last promotion. Content/Support documents for all years since last promotion.

**Table 4b.: Evaluation Schedule for Clinical Faculty**

Year	Fall Semester	Spring Semester	Chair	Dept. CPT	School CPT	Dossier Content for School CPT <a href="#">Clinical Faculty Promotion Request</a>
1 - 6		X	X	*		
9, 12, 15 ...		X	X	X*		
Upon Request	X		X	X*	*X	Complete CV. Chair & Dept. CPT letters since last promotion. Content/Support documents for all years since last promotion

\*Evaluations will be submitted to School CPT only if requested by the individual faculty member, departmental chair or the Dean.

### Evaluation Process and Routing for Approval

At the time of initial appointment, faculty shall be informed by the Department Chair of the criteria for evaluation and position description 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. Evaluations will be based on departmental promotion criteria in place and position description set at the time of their initial appointment. Faculty will be informed in writing and given adequate notice whenever there is a change made to the promotion criteria. Contract provisions shall be reviewed and, when appropriate, position descriptions may be revised as a part of the faculty member's periodic evaluations. For probationary (pre-tenure) faculty only, if evaluation criteria are changed at any time during the probationary period, a tenure candidate in years 1 - 3 will be evaluated under the new criteria. Probationary faculty in years 4 – 6 may choose to use the Guidelines in effect at the time of their initial appointment or the new criteria.

The Department Chair will initiate evaluations at the appropriately scheduled intervals as determined by of the Office of Education and Faculty Affairs. The chair will request the faculty member's portfolio and will set a deadline for receiving the materials. The required dossier content/support documents for probationary (tenure track), promotion and tenure (tenure track), post tenure (tenure track) promotion (tenure track and special appointment), and special appointment (nontenure), may be found in Appendix E. Additional documents can be added as an appendix limited to five. Include only most important documents that demonstrate accomplishments.

The following definition of terms shall apply to all faculty appointment dossier checklists:

1. Self-Evaluation: A two- to three-page evaluation of the dossier according to departmental evaluation, promotion, and tenure criteria. This should include evaluation of teaching, research, and service commensurate with percent of effort and tenure (probationary) or goals and progression plan (special appointment).
2. Analysis of Teaching: A two-to-three page summary of teaching activity and effectiveness, including formal instruction (including course numbers, role in course, contact hours plus preparation time, small group facilitation, laboratories) and informal instruction (seminars, tutorials, Webinars, Online instructional materials) and graduate research supervision (students advised at master's and doctoral level; number of thesis/special project/dissertations committees chaired vs. membership; defenses held during period of review); curriculum development; teaching administration; student evaluation form data for all instruction during the period of review in tabular format, including course, department, and university averages; evidence of use of data for revision of curriculum and evidence of effectiveness.
3. Analysis of Scholarship: One-to-two-page summary of scholarship activities listing individual accomplishments (publications, abstracts, manuscripts, presentations, grants) along with status (e.g., under review, in-press; funded/not funded, regional, national, international; poster, presentation, keynote) role (e.g., first author, PI, presenter), and impact (e.g., impact factor or other evidence of impact; amount of funding).
4. Service Summary: One-to-two-page summary of service activities, to include committee membership, role on committee, and level of committee (e.g. department, school, university, regional, national); professional service (conference and journal reviews; editor; professional society involvement).

NOTE: Teaching, research, and service are more completely defined elsewhere in this document. Educator Scholars must also adhere to the specific criteria for teaching and education scholarship outlined in the description of this track elsewhere in this document.

For those faculty in the clinician scholar track, documentation of patient care activity is also required. For faculty seeking promotion, notification in writing must be provided by faculty member to the chair by June 1 of the preceding academic year. The deadline for submission of all materials for faculty seeking promotion to the department chair's office is September 15 of the year in which the faculty wishes to be evaluated for promotion. For faculty up for evaluation, the departmental deadline for submission of all materials is two months prior to the deadline the evaluation is required to be in the office of Education and Faculty Affairs.

In general, the process for faculty seeking promotion is as follows:

The Department Chair will submit the materials collected from the faculty member to the department CPT committee. The CPT committee will evaluate the materials and send a written report and recommendation to the Chair, program director (if applicable), and to the faculty member. After the written evaluation is received from the department CPT committee, the Department Chair will provide feedback to the individual regarding:

- Areas of strength
- Areas needing improvement
- Progress on professional development goals since the last evaluation
- Professional development goals for the upcoming year
- Relationship between individual's professional development goals and the Department's and/or Program's goals

The Department will submit appropriate documentation to the Office of Education and Faculty Affairs regarding the evaluation outcome.

When the department evaluation is complete, the department chair will submit the following to the Office of Education and Faculty Affairs as well as:

- Summary of findings and recommendations by the departmental CPT.
- Summary of findings and recommendations by the departmental chair.
- Complete dossier along with an electronic copy if evaluation is being forwarded to the SMHS CPT Committee.

The Department Chair's letter to faculty summarizing the results of the evaluation should, when feasible, be sent to the evaluated faculty member within one week of the evaluation. The Office of Education & Faculty Affairs will distribute the materials to the School of Medicine & Health Sciences CPT, according to the evaluation schedule. The CPT will review and advise the Dean whether evaluations meet the departmental and School Guidelines and the Faculty Handbook. At every step of the evaluation process, the faculty member under evaluation will be informed in writing of the summary and recommendations and given an opportunity to respond.

**Appeal**

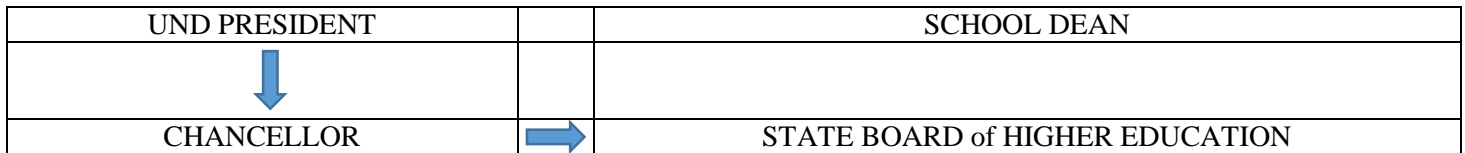
All formal appeals of evaluation shall be made in accordance with the same "due process" procedures as provided for in cases of non-renewal of probationary faculty in the North Dakota State Board of Higher Education Regulations on Non-Renewal, Termination or Dismissal of Faculty (Academic Freedom, Tenure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

**Routing for Approval**

PROMOTION	
DEPARTMENT CHAIR	DEPARTMENTAL COMMITTEE on EVALUATION, PROMOTION AND TENURE
↓	
OFFICE OF EDUCATION and FACULTY AFFAIRS	SCHOOL COMMITTEE on EVALUATION, PROMOTION and TENURE
	↓
UND PRESIDNET (probationary & tenured faculty)	SCHOOL DEAN and UND VICE PRESIDENT for HEALTH AFFAIRS (special contract faculty requests complete)

**Figure 1. Routing Sequence for Documents Related to Promotion**

TENURE	
DEPARTMENT CHAIR	DEPARTMENTAL COMMITTEE on EVALUATION, PROMOTION AND TENURE
↓	
OFFICE OF EDUCATION and FACULTY AFFAIRS	SCHOOL COMMITTEE on EVALUATION, PROMOTION and TENURE
	↓



**Figure II: Routing Sequence for Documents Related to the Award of Tenure**

**Procedure for Promotion**

Promotions in rank are initiated by a written recommendation from the Department Chair 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 evaluation from the SMHS Committee on Promotion and Tenure. Recommendations (for probationary and tenured faculty) are then forwarded to the President. In accordance with State Board Policy 305.1.4.d, the President will approve or disapprove the recommendation (Faculty Handbook).

**Promotions are regarded as recognition and reward for academic attainment in three areas: teaching, scholarly and/or creative activity and service to one's discipline, profession and school, and, for those in the clinician scholar track, patient care.** 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 understand that promotion to the upper academic ranks of associate professor and professor will occur only if, at a minimum:

1. Outstanding accomplishment is achieved in at least one of the areas, the area in which faculty percent effort is highest
2. High accomplishment is achieved in at least one other area, and
3. No more than one area receives an evaluation of Good

In addition, the areas in which these evaluations must be earned vary by faculty title and by rank and are outlined in Tables 7–14 in the appendices.<sup>2</sup>

In general, for those in the scientist scholar track, the Department places high value on publications and evidence of successful grants, and for those in the educator scholar track, evidence of highly valued/reviewed teaching and education scholarship. However, the specific ratio of importance of each area varies for each faculty member and shall be determined by the faculty member’s responsibilities as indicated in the position description and percent effort form. It is also recognized that a faculty member may display creative activity in any of the areas. Creative activity is defined for the purpose of this document as the creation of something original, using imaginative skills recognized by outside peers.

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<sup>2</sup> Promotion guidelines are not provided for those seeking promotion from Instructor to Assistant Professor because the appointment criteria for Assistant Professor provide sufficient guidance for appointment at that level upon receipt of the terminal degree in the faculty member’s field.

Because departments within the school have diverse missions and responsibilities, recommendations for promotion by the Departmental Chair, SMHS 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 position description and contract.

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. Generally, consideration for promotion to Associate Professor and the awarding of tenure will occur in the same academic year. Only under unusual circumstances will promotion and the awarding of tenure occur in different years.

### **Letters of Recommendation:**

From the department chair and the departmental CPT committee.

From external reviewers\*. 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. The candidate may submit a list of names to the department chair, but the department chair may solicit letters from other qualified peers. Previous mentors, co-authors or close collaborators cannot be external reviewers 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 yet have approved promotion and tenure guidelines, a copy of the School *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.

\*External reviewers should be wholly disinterested, i.e., what has traditionally been known as "at arms-length." The test for being wholly disinterested is that the potential reviewer should not have even the appearance of a vested interest based on his or her own career, nor a personal interest in the career advancement of the faculty member under review.

NOTE: For faculty seeking promotion, notification in writing must be provided by faculty member to the chair by June 1 of the preceding academic year. The deadline for submission of all materials for faculty seeking promotion to the department chair's office is September 15 of the year in which the faculty wishes to be evaluated for promotion. For faculty up for evaluation, the departmental deadline for submission of all materials is two months prior to the deadline the evaluation is required to be in the office of Education and Faculty Affairs.

## Post-Tenure Review

The procedures for post tenure review follow the UND SMHS Guidelines for Evaluation, Promotion and Tenure. Faculty who are tenured are expected to maintain (or exceed) the level of scholarly productivity that resulted in the awarding of tenure.

The following guidelines are reproduced from the UND SMHS Guidelines on Evaluation, Promotion and Tenure.

## Evaluation, Promotion, and Tenure Criteria

All individuals and committees evaluating Department of Population Health faculty members for purposes of evaluation, promotion and tenure shall employ the faculty portfolio (dossier).

The faculty portfolio documents activities in the following areas:

- Extramural support (grants and contracts). These should be explicit as to the role played by the applicant, with greatest weight given to grants/contracts where the individual is the Principal Investigator (P.I.).
- Teaching
- Patient Care (if applicable)
- Scholarly and/or creative activity (e.g., peer-reviewed publications)
- Contribution to one's discipline or profession
- Professional and community service (e.g., service on national grant committees, journal editorship, journal peer-review).
- Position description
- Effort allocation
- Annual evaluations

Each faculty member being evaluated should submit a portfolio containing information documenting support for their activities. Each activity should be quantified, if possible (e.g., classes taught, types of lectures along with number of hours, patient care activities, grants, articles written, research funding). The portfolio should be as complete as possible. The School of Medicine & Health Sciences Guidelines state that the **School CPT must base its recommendations solely upon the information supplied by the faculty member and department, it is imperative that the faculty member supply all necessary data and appropriate documentation. A fact cannot be assumed as known, if not stated.**

Evidence of activity effectiveness should also be included in the portfolio. Examples of documenting effectiveness include and are not limited to: resident/student evaluations, peer review, letters of reference, awards received, letters of recommendation, evaluations from presentations at meeting/conferences, grant reviews, etc.

## Criteria for Good, High, and Outstanding Ratings

The department's criteria for ratings of Good, High, and Outstanding in the areas of teaching, scholarly and creative activity, and service in any given year of evaluation are identical for all appointments. However, the percent of effort assigned to each of these areas shall govern the expected quantity of activity within each area. For example, regardless of the amount or type of teaching activity a faculty member engages in, documentation of that activity that meets the criteria for Good, High, or Outstanding shall merit the same rating. Further, the relationship of these ratings to promotion and tenure vary with the different faculty titles (e.g., a scientist scholar is expected to achieve a consistent pattern of high or outstanding ratings for scholarship, whereas an educator scholar is expected to achieve a consistent pattern of high or outstanding ratings for teaching). The criteria for teaching, research, and service, as well as their relation to faculty titles and requirements



for promotion and/or tenure are presented in the following section. For all evaluations, if an individual does not meet the minimal expectations associated with a 'Good' rating when considering his or her professional development plan and percent of effort distributions he/she does not meet expectations.

### **Evaluation of Teaching**

Faculty are expected to comply with University policy and have students evaluate every course using the approved UND course assessment form (student evaluations), and for faculty evaluation purposes, to supply at least three forms of teaching data from a variety of sources:

- Source one: Student evaluation data
- Source two: Teaching analysis
- Source three: Candidate choice (e.g., course syllabi, instructional materials)

Candidates' three sources of teaching data are to be clearly stated in their evaluation document, particularly in the Summary Statement. Evaluation committees use the sources of teaching data to evaluate teaching using the rubric presented in Table 4.

Achievement criteria for Outstanding, High or Good for teaching may be seen in Table 4.

### **Evaluation of Scholarship**

1. Table 5 is based on the expectation of 40% effort for scholarship. Accordingly, percent of effort of the faculty member should be taken into account when interpreting the rubric.
2. The rubric describes a threshold accomplishment by year six, and steady progress toward the threshold is expected.
3. Refer to the list of major and minor publications for acceptable publications.
4. Sources of evidence may include but are not limited to the following:
  - Publications, funded competitive grants
  - Submitted and/or draft manuscripts
  - Letters of acceptance, status of review from journal editors or publishers
  - Sample reviews from manuscript reviewers
  - Quality indicators such as acceptance rates, readership/membership
  - Works in progress
  - Letters of submission
  - Presentation handouts or websites
  - Letters of acceptance for presentations
  - Goals and progress statements
  - Grants-funded (state or national)

**Table 4. Achievement Criteria for Teaching.**

<b>Teaching Evaluation</b>	<b>Good</b>	<b>High</b>	<b>Outstanding</b>
Teaching effectiveness	<p>Teaching sources (i.e., USAT data, teaching analysis, and third source sources) reveal good performance regarding: student learning, teaching and assessment methods, use of technology, communication, knowledge and enthusiasm for subject matter, good organization of course and subject matter, positive attitude toward students, grading practices.</p> <p>Over time, a pattern of means at or above 3.5 (on a 5.0 scale) on student evaluations of teaching. Student comments suggest unsatisfactory teaching.</p>	<p>Teaching sources (i.e., USAT data, teaching analysis, and third source sources) reveal high levels of effectiveness in most of the following: student learning, teaching and assessment methods, use of technology, communication, knowledge and enthusiasm for subject matter, good organization of course and subject matter, positive attitude toward students, grading practices.</p> <p>Over time, a pattern of means 3.75-3.9 (on a 5.0 scale) or above on student evaluations of teaching. Student comments support satisfactory teaching.</p>	<p>Teaching sources (i.e., USAT data, teaching analysis, and third source) reveal very high levels of effectiveness in most or all of the following: student learning, teaching and assessment methods, use of technology, communication, knowledge and enthusiasm for subject matter, good organization of course and subject matter, positive attitude toward students, grading practices.</p> <p>Over time, a strong pattern of means near or above 4.0-5.0 (on 5.0 scale) on student evaluations of teaching; student comments support teaching excellence.</p>
Responsiveness to evaluation of teaching	<p>Adequate documentation in teaching materials to indicate a sufficient level of planning or efforts to improve teaching effectiveness or course. Attempts to improve teaching are documented.</p> <p>Some evidence of professional development, and/or innovative teaching methods or format.</p>	<p>Data sources for evaluating teaching and other documents reveal responsiveness to evaluation of teaching and indicate plans for changes with potential for course improvements; efforts to improve teaching effectiveness are evident.</p> <p>Professional development, and/or innovative teaching methods or format are clearly evident and suggest potential to improve student learning or relevant faculty knowledge.</p>	<p>Data sources for evaluating teaching and other documents reveal responsiveness to evaluation of teaching and significant teaching successes are made evident.</p> <p>Professional development, and/or innovative teaching methods or format are clearly evident, focused, and effective in improving student learning or relevant faculty knowledge.</p>

**Table 5. Evaluation Criteria for Research and Scholarly Activity.**

Research & Scholarly Activity	Good	High	Outstanding
Scholarly Agenda	<p>Sufficient evidence is provided that an on-going research program exists;</p> <p>Non tenured and promotion seeking faculty whose primary area of effort is scholarship: Progress toward threshold expectations indicates Good progress.</p>	<p>Good evidence is provided that an on-going research program exists; achievement of goals may vary.</p> <p>Non tenured and promotion seeking faculty: Progress toward threshold expectations merits a High rating.</p>	<p>Strong evidence is provided that an on-going sustained research program exists; research goals are clearly being met.</p> <p>Non tenured and promotion seeking faculty: Progress toward threshold expectations merits an Outstanding rating.</p>
Publications & Presentations	<p>Publications and presentations may have been accomplished, but quality indicators such as low acceptance rate, high levels of readership, importance to the field, and complexity of research or project are not evident; or the role of the candidate in the work was limited.</p> <p>Quality indicators such as low acceptance rate, high levels of readership, importance to the field, and complexity of research or project are evident for some of the publications.</p> <p>One refereed or juried presentation is made at the regional, national, and/or international level</p> <p>Progress indicates an annual publication rate that would result in 3-4 publications by the sixth year (1+ every two years). In general, one-third of the publications should come from the "major" publication category.</p>	<p>Publication accomplishments have allowed the candidate to meet departmental criteria that results in associate or full membership on the graduate school faculty.</p> <p>Publications and presentations indicate products are judged to be of value to the candidate's field.</p> <p>Quality indicators such as low acceptance rate, high levels of readership, importance to the field, and complexity of research or project are evident for many of the publications.</p> <p>Two refereed or juried presentations are made at the regional, national and/or international level.</p> <p>At minimum, progress indicates an annual publication rate that would result in a total of 5-6 publications by the sixth year (1 per year on average). In general, half of the publications should come from the "major" publication category.</p>	<p>Publication accomplishments have allowed the candidate to meet departmental criteria that results in associate or full membership on the graduate school faculty.</p> <p>Publications and presentations indicate products are judged to be of value to the candidate's field, with strong evidence that some are of significant impact or quality.</p> <p>Quality indicators such as low acceptance rate, high levels of readership, importance to the field, and complexity of research or project are evident for the majority of the publications.</p> <p>Three refereed or juried presentations are made at the national and international level.</p> <p>At minimum, progress indicates an annual publication rate that would result in more than 6 publications by the sixth year (1+ per year on average). The majority of the publications should come from the "major" publication category.</p>

## **Evaluation of Service**

Sources of evidence may include but are not limited to the following:

- Letters of recognition, appreciation, and awards
- Letters or emails related to funded grants
- Letters of outreach to communities for partnerships
- List of committee members from official source (e.g., UND website, professional organization website)
- Products of committee work showing duties, duration of assignments, accomplishments, completed tasks (e.g., program coordinators and graduate directors may include curriculum change accomplishments, reports, subcommittee assignments, etc.)
- Trainings attended related to service (e.g., leadership workshops)
- Notes or emails describing accomplishments

Achievement criteria for Outstanding, High or Good are specified on the rubric below.

**Table 6. Evaluation Criteria for Service.**

<b>Service</b>	<b>Good</b>	<b>High</b>	<b>Outstanding</b>
Service to Institution	<p>Service documentation is sufficient. Impact on the faculty, students or staff, and/or the mission and/or strategic plan of the department, college and/or university is appropriate for associated percent of effort.</p> <p>Service at each level (program/department, school, university) if warranted by percent of effort.</p>	<p>Service is well documented and documentation reveals service has had some impact on the faculty, students or staff, and/or the mission and/or strategic plan of the department, college and/or university. Involvement in the department supports collegial achievement of goals.</p> <p>Service at more than one level (program/department, school, university) is present, with some evidence of leadership roles in that service.</p>	<p>Well-documented, well-described service that impacts the faculty, students or staff, and/or the mission and/or strategic plan of the department, college and/or university. Service is varied and/or deeply dedicated to selective tasks. Involvement in the department supports collegial achievement of goals.</p> <p>Service at all levels (program/department, school, university) is present, with evidence of leadership roles in that service.</p>
Service to Profession	<p>Variety or depth of service to profession is sufficient.</p>	<p>Variety or depth of service is to profession is sufficiently documented and evaluation materials provide evidence of impact and high quality participation.</p>	<p>Well-documented, well-described service to one's professional societies and/or recognized practitioners in the field. Service is varied and/or deeply dedicated to selective tasks. Evaluation materials provide evidence of impact and high quality leadership and/or participation.</p>
Service to Community	<p>Variety or depth of service to community is sufficient.</p>	<p>Variety or depth of service is to community is sufficiently documented and evaluation materials provide evidence of impact and high quality participation.</p>	<p>Well-documented, well-described service to communities such as schools colleges, universities, state or other agencies. Service is varied and/or deeply dedicated to selective tasks. Evaluation materials provide evidence of positive impact and quality participation.</p>
Other Service	<p>Variety or depth of other service is sufficient.</p>	<p>Other service is satisfactorily carried out, documented, and explained.</p>	<p>Other service constitutes equal or greater value and quality than those above noted as excellent.</p>

## **CRITERIA FOR PROMOTION SCIENTIST SCHOLAR**

### **Scientist Scholar Promotion Criteria**

Success as a scientist scholar is primarily reflected by the faculty member's portfolio in research publications (including patents, if applicable) and in her/his ability to secure extramural support for original research. Publication sources, their quantity, Impact Factors, and the faculty member's role in a given publication are the primary evaluation criteria. Although it is impossible to reduce the evaluation of publications to a formula, factors such as first and senior authorship and the impact of the journal are important factors in the evaluation of publications. Evidence of successful (i.e., funded) grant writing is a valuable tool supporting a faculty member's role as an independent scientist.

Classical sources of grants include institutes and agencies with the National Institutes of Health as well as the Department of Defense. Grants from other peer-reviewed agencies, e.g., The American Heart Association, American Cancer Society, as well as disease-oriented charitable groups and foundations with peer-reviewed funding mechanisms, also provide evidence of excellent-outstanding performance as a scientist scholar. Success in attracting government contracts is also acknowledged, particularly for faculty in the research track. The Department Chair and members of promotion and tenure committees recognize that success in grants may be challenging and is often unpredictable. However, it is understood that successful grants are a subset of submitted grants. Thus, the expectation of faculty in the scientist scholar track is that faculty members will vigorously pursue extramural support and will document this activity as part of their evaluations.

Scientist Scholars will be evaluated in a manner that is consistent with their faculty title in the areas of research and scholarly activity, teaching, and service, and according to the criteria found in Tables 7–8.

The individual does not meet the minimal expectations associated with a 'Good' rating when considering his or her professional development plan and percent of effort distributions.

**Table 7.** Examples of benchmarks and rating for evaluation of a **Scientist Scholar** for promotion from **Assistant Professor** to **Associate Professor**. An individual need not achieve every aspect in order to achieve a given rating, but the preponderance of evidence should support the rating assignment.

	<b>GOOD</b>	<b>HIGH</b>	<b>OUTSTANDING</b>
<b>TEACHING</b>	<p>Documentation over time provides a record of effective teaching in the education of undergraduates, medical students, graduate students, and/or other trainees.</p> <p>Ratings of “Good” in current and previous year as per achievement criteria for teaching (see Table 4).</p>	<p>Documentation over time provides a record of active and effective teaching in the education of undergraduates, medical students, graduate students, and/or other trainees.</p> <p>Ratings of “High” in current year and at least “Good” in prior year as per achievement criteria for teaching (see Table 4).</p>	<p>Documentation over time provides a record of excellence and responsiveness in teaching and curriculum design in the education of undergraduates, medical students, graduate students, and/or other trainees.</p> <p>Ratings of “Outstanding” in current year and at least “High” in prior year as per achievement criteria for teaching (see Table 4).</p>
<b>SCHOLARLY &amp; CREATIVE ACTIVITY</b>	<p>Documentation over time provides evidence for national, international recognition for scholarly activity; potential for future funding.</p> <p>Ratings of “Good” in current and previous year as per achievement criteria for scholarship (see Table 5).</p>	<p>Documentation over time provides good evidence for national, international recognition for scholarly activity, participation in grant submission, and expectation for future funding.</p> <p>Ratings of “High” in current year and at least “Good” in prior year as per achievement criteria for scholarship (see Table 5).</p>	<p>Documentation over time provides strong evidence for national, international recognition for scholarly activity and achievement of some extramural funding and/or significant funding submission.</p> <p>Ratings of “Outstanding” in current year and at least “High” in prior year as per achievement criteria for scholarship (see Table 5).</p>
<b>SERVICE</b>	<p>Documentation over time provides evidence of contribution to service at at least one of three university levels; evidence of potential service to the profession.</p> <p>Ratings of “Good” in current and previous year as per achievement criteria for service (see Table 6).</p>	<p>Documentation over time provides evidence of contribution to service at two of three university levels; evidence of service to the profession.</p> <p>Ratings of “High” in current year and at least “Good” in prior year as per achievement criteria for service (see Table 6).</p>	<p>Documentation over time provides evidence of contribution to service at all university levels; multiple sources of evidence of service to the profession.</p> <p>Ratings of “Outstanding” in current year and at least “High” in prior year as per achievement criteria for service (see Table 6).</p>

NOTE: Promotion at this level requires a rating of “Outstanding” in scholarship and at least “High” in one other area.

**Table 8.** Examples of benchmarks and rating for evaluation of a **Scientist Scholar** for promotion from **Associate Professor** to **Full Professor**. An individual need not achieve every aspect in order to achieve a given rating, but the preponderance of evidence should support the rating assignment.

	<b>GOOD</b>	<b>HIGH</b>	<b>OUTSTANDING</b>
<b>TEACHING</b>	<p>Documentation over time provides a record of effective teaching in the education of undergraduates, medical students, graduate students, and/or other trainees.</p> <p>Ratings of “Good” in current and previous year as per achievement criteria for teaching (see Table 4).</p>	<p>Documentation over time provides a record of active and effective teaching in the education of undergraduates, medical students, graduate students, and/or other trainees.</p> <p>Ratings of “High” in current and previous year as per achievement criteria for teaching (see Table 4).</p>	<p>Documentation over time provides a record of excellence and responsiveness in teaching and curriculum design in the education of undergraduates, medical students, graduate students, and/or other trainees.</p> <p>Ratings of “Outstanding” in current year and previous year as per achievement criteria for teaching (see Table 4).</p>
<b>SCHOLARLY &amp; CREATIVE ACTIVITY</b>	<p>Documentation over time provides evidence for national, international recognition for scholarly activity; potential for future funding.</p> <p>Ratings of “Good” in current and previous year as per achievement criteria for scholarship (see Table 5).</p>	<p>Documentation over time provides good evidence for national, international recognition for scholarly activity, participation in grant submission, and expectation for future funding.</p> <p>Ratings of “High” in current and previous year as per achievement criteria for scholarship (see Table 5).</p>	<p>Documentation over time provides strong evidence for national, international recognition for scholarly activity and achievement of some extramural funding and/or significant funding submission.</p> <p>Ratings of “Outstanding” in current year and previous two years as per achievement criteria for scholarship (see Table 5).</p>
<b>SERVICE</b>	<p>Documentation over time provides evidence of contribution to service at at least one of three university levels; evidence of potential service to the profession.</p> <p>Ratings of “Good” in current and previous year as per achievement criteria for service (see Table 6).</p>	<p>Documentation over time provides evidence of contribution to service at two of three university levels; evidence of service to the profession.</p> <p>Ratings of “High” in current and previous year as per achievement criteria for service (see Table 6).</p>	<p>Documentation over time provides evidence of contribution to service at all university levels; multiple sources of evidence of service to the profession.</p> <p>Ratings of “Outstanding” in current year and at least “High” in prior year as per achievement criteria for service (see Table 6).</p>

NOTE: Promotion at this level requires a rating of “Outstanding” in scholarship and either “Outstanding” in teaching or “High” in teaching and service.



## CRITERIA FOR PROMOTION EDUCATOR SCHOLAR

### **Educator Scholar Promotion Criteria**

Excellent to outstanding teaching is an essential criterion 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 and/or some indication that teaching contributions have been incorporated into the curriculum or design of the curriculum. Faculty may provide examples of lectures (e.g., as a PowerPoint file), original case descriptions, etc., in support of this documentation.

Effective teaching requires mastery of the subject with organizational and communication skills necessary to share this knowledge in a manner that facilitates student learning. Effective teaching requires faculty members to continually exhibit scholarship by the use of appropriate and supportive material while acknowledging controversies and limits of scientific support. To accomplish this task, it is necessary to update course subject matter and instructional techniques. Effective teaching may involve diverse pedagogical approaches and may take place in many settings, some removed from the classroom. Effective teaching may require collective as well as individual efforts in developing or revising a curriculum or carrying out cooperative instructional activities.

Educator Scholars will be evaluated in a manner that is consistent with their faculty title in the areas of research and scholarly activity, teaching, and service, and according to the criteria found in Tables 9–10. Because scholarship within this track is often different from scholarship for Scientist Scholars and Research Faculty, the following section provides additional description and criteria of scholarship for Educator Scholars.

### **Additional Definitions of Scholarly and Creative Activity for Educator Scholars**

*Scholarly and Creative Activity (see also the rubric and description for scholarship elsewhere in this document)*

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 or service. Scholarly and creative activity in the Educator Scholar title should include evidence of scholarship around teaching, educational innovation and curriculum development, educational evaluation and research, and/or on professional development and faculty advancement in education and/or creative scholarship within their discipline or profession.

#### *Educational innovation and curriculum development*

The following are **examples** of scholarly and creative 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

The following are **examples** of documentation of educational innovation and curriculum development:

- Evidence of significant improvements in a block/course/clerkship/program
- Evaluations from block/course/clerkship/program directors or coordinators
- Student and/or peer evaluations/letters

#### *Educational evaluation and research*

The following are **examples** of scholarly and creative activity in educational evaluation and research:

- Publication of manuscripts in educational research and evaluation
- Publication of books or book chapters
- Substantial contributions to education evaluation and research through grant and/or contract activity
- Course/block/clerkship assessment
- Journal/book editor or reviewer
- Membership on editorial boards
- Grant reviewer

The following are **examples** of documentation of educational evaluation and research:

- Provide evidence of effectively developing or revising teaching materials.
- 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.
- List publications (refereed, non-refereed) and in the case of multiple authors list amount of involvement (e.g., lead author, collaborating author)
- List editorship and publication reviewer activity
- List editorial board membership
- List grants/contracts and area of involvement (e.g., author, principal investigator, co-investigator, consultant, collaborator). Provide funding organizations' assessment or summary of grant requests
- List grant reviewing activity. Provide assessment of the caliber of the faculty member's reviews from granting organizations, if available.

#### *Professional development and/or faculty advancement in education.*

The following are **examples** of scholarly and creative activity in professional development and/or faculty advancement in education:

- Participation in education conference sessions (e.g., presentations and/or 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).
- Participation in education workshops (e.g., presentations and/or attendance at a PCL facilitation workshop, attendance at a test item writing workshop).
- Participation in education grand rounds (e.g., presentations and/or attendance at a grand rounds specifically devoted to the enhancement of teaching, educational evaluation, educational research).
- Grant reviewer
- 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 professional development and/or faculty advancement in education:

- 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.
- List presentations and type of presentation at local, regional, national or international meetings (e.g., platform, poster, and panel). Provide evaluations of presentations.
- 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 presentations at workshops, grand rounds, conferences, etc. Provide evaluations of presentations
- Consulting activity to other organizations in the areas of teaching, evaluation and educational research. Include consulting assessments from the organization, if available.

**Table 9.** Examples of benchmarks and rating for evaluation of an **Educator Scholar** for promotion from **Assistant Professor** to **Associate Professor**. An individual need not achieve every aspect in order to achieve a given rating, but the preponderance of evidence should support the rating assignment.

	<b>GOOD</b>	<b>HIGH</b>	<b>OUTSTANDING</b>
<b>TEACHING</b>	<p>Documentation over time provides a record of effective teaching in the education of undergraduates, medical students, graduate students, and/or other trainees.</p> <p>Ratings of “Good” in current and previous year as per achievement criteria for teaching (see Table 4).</p>	<p>Documentation over time provides a record of active and effective teaching in the education of undergraduates, medical students, graduate students, and/or other trainees.</p> <p>Ratings of “High” in current year and at least “Good” in prior year as per achievement criteria for teaching (see Table 4).</p>	<p>Documentation over time provides a record of excellence and responsiveness in teaching and curriculum design in the education of undergraduates, medical students, graduate students, and/or other trainees.</p> <p>Ratings of “Outstanding” in current year and at least “High” in prior year as per achievement criteria for teaching (see Table 4).</p>
<b>SCHOLARLY &amp; CREATIVE ACTIVITY</b>	<p>Documentation over time provides evidence for national, international recognition for scholarly activity; potential for future funding.</p> <p>Ratings of “Good” in current and previous year as per achievement criteria for scholarship (see Table 5).</p>	<p>Documentation over time provides good evidence for national, international recognition for scholarly activity, participation in grant submission, and expectation for future funding.</p> <p>Ratings of “High” in current year and at least “Good” in prior year as per achievement criteria for scholarship (see Table 5).</p>	<p>Documentation over time provides strong evidence for national, international recognition for scholarly activity and achievement of some extramural funding and/or significant funding submission.</p> <p>Ratings of “Outstanding” in current year and at least “High” in prior year as per achievement criteria for scholarship (see Table 5).</p>
<b>SERVICE</b>	<p>Documentation over time provides evidence of contribution to service at at least one of three university levels; evidence of potential service to the profession.</p> <p>Ratings of “Good” in current and previous year as per achievement criteria for service (see Table 6).</p>	<p>Documentation over time provides evidence of contribution to service at two of three university levels; evidence of service to the profession.</p> <p>Ratings of “High” in current year and at least “Good” in prior year as per achievement criteria for service (see Table 6).</p>	<p>Documentation over time provides evidence of contribution to service at all university levels; multiple sources of evidence of service to the profession.</p> <p>Ratings of “Outstanding” in current year and at least “High” in prior year as per achievement criteria for service (see Table 6).</p>

NOTE: Promotion at this level requires a rating of “Outstanding” in teaching and at least “High” in one other area.

**Table 10.** Examples of benchmarks and rating for evaluation of an **Educator Scholar** for promotion from **Associate Professor** to **Full Professor**. An individual need not achieve every aspect in order to achieve a given rating, but the preponderance of evidence should support the rating assignment.

	<b>GOOD</b>	<b>HIGH</b>	<b>OUTSTANDING</b>
<b>TEACHING</b>	<p>Documentation over time provides a record of effective teaching in the education of undergraduates, medical students, graduate students, and/or other trainees.</p> <p>Ratings of “Good” in current and previous year as per achievement criteria for teaching (see Table 4).</p>	<p>Documentation over time provides a record of active and effective teaching in the education of undergraduates, medical students, graduate students, and/or other trainees.</p> <p>Ratings of “High” in current and previous year as per achievement criteria for teaching (see Table 4).</p>	<p>Documentation over time provides a record of excellence and responsiveness in teaching and curriculum design in the education of undergraduates, medical students, graduate students, and/or other trainees.</p> <p>Ratings of “Outstanding” in current year and previous two years as per achievement criteria for teaching (see Table 4).</p>
<b>SCHOLARLY &amp; CREATIVE ACTIVITY</b>	<p>Documentation over time provides evidence for national, international recognition for scholarly activity; potential for future funding.</p> <p>Ratings of “Good” in current and previous year as per achievement criteria for scholarship (see Table 5).</p>	<p>Documentation over time provides good evidence for national, international recognition for scholarly activity, participation in grant submission, and expectation for future funding.</p> <p>Ratings of “High” in current and previous year as per achievement criteria for scholarship (see Table 5).</p>	<p>Documentation over time provides strong evidence for national, international recognition for scholarly activity and achievement of some extramural funding and/or significant funding submission.</p> <p>Ratings of “Outstanding” in current and previous year as per achievement criteria for scholarship (see Table 5).</p>
<b>SERVICE</b>	<p>Documentation over time provides evidence of contribution to service at at least one of three university levels; evidence of potential service to the profession.</p> <p>Ratings of “Good” in current and previous year as per achievement criteria for service (see Table 6).</p>	<p>Documentation over time provides evidence of contribution to service at two of three university levels; evidence of service to the profession.</p> <p>Ratings of “High” in current and previous year as per achievement criteria for service (see Table 6).</p>	<p>Documentation over time provides evidence of contribution to service at all university levels; multiple sources of evidence of service to the profession.</p> <p>Ratings of “Outstanding” in current year and at least “High” in prior year as per achievement criteria for service (see Table 6).</p>

NOTE: Promotion at this level requires a rating of “Outstanding” in teaching and either “Outstanding” in scholarship or “High” in scholarship and service.

## **CRITERIA FOR PROMOTION RESEARCH FACULTY**

The major criterion for promotion of Research Faculty is demonstrated research productivity of a population science, clinical science, or educationally-related nature and excellence in professional service. Teaching, if negotiated between the faculty member, Department Chair, and Principal Research Supervisor when applicable, will be considered towards promotion but is not required. If the faculty member is contributing to the departmental teaching mission, then the criteria outlined for promotion in the Scientist Scholar title series will be applied.

Faculty with Research appointments will be evaluated in a manner that is consistent with their faculty title and reflective of their percent of effort in the areas of Research & Scholarly Activity and Service. The promotion and tenure committee will assign ratings of “Does Not Meet Expectations,” “Good,” “High,” and “Outstanding” to these areas based upon the preponderance of evidence supplied by the candidate in their evaluation dossier that addresses those promotion criteria outlined in Tables 11–12.

**Table 11.** Examples of benchmarks and rating for evaluation of a **Research Faculty** for promotion from **Assistant Professor** to **Associate Professor**. An individual need not achieve every aspect in order to achieve a given rating, but the preponderance of evidence should support the rating assignment.

	<b>GOOD</b>	<b>HIGH</b>	<b>OUTSTANDING</b>
<b>TEACHING</b>	<p>Documentation over time provides a record of effective teaching in the education of undergraduates, medical students, graduate students, and/or other trainees.</p> <p>Ratings of “Good” in current and previous year as per achievement criteria for teaching (see Table 4).</p>	<p>Documentation over time provides a record of active and effective teaching in the education of undergraduates, medical students, graduate students, and/or other trainees.</p> <p>Ratings of “High” in current year as per achievement criteria for teaching (see Table 4).</p>	<p>Documentation over time provides a record of excellence and responsiveness in teaching and curriculum design in the education of undergraduates, medical students, graduate students, and/or other trainees.</p> <p>Ratings of “Outstanding” in current year as per achievement criteria for teaching (see Table 4).</p>
<b>SCHOLARLY &amp; CREATIVE ACTIVITY</b>	<p>Documentation over time provides evidence for national, international recognition for scholarly activity; potential for future funding.</p> <p>Ratings of “Good” in current and previous year as per achievement criteria for scholarship (see Table 5).</p>	<p>Documentation over time provides good evidence for national, international recognition for scholarly activity, participation in grant submission, and expectation for future funding.</p> <p>Ratings of “High” in current year and at least “Good” in prior year as per achievement criteria for scholarship (see Table 5).</p>	<p>Documentation over time provides strong evidence for national, international recognition for scholarly activity and achievement of some extramural funding and/or significant funding submission.</p> <p>Ratings of “Outstanding” in current year and at least “High” in prior year as per achievement criteria for scholarship (see Table 5).</p>
<b>SERVICE</b>	<p>Documentation over time provides evidence of contribution to service at at least one of three university levels; evidence of potential service to the profession.</p> <p>Ratings of “Good” in current and previous year as per achievement criteria for service (see Table 6).</p>	<p>Documentation over time provides evidence of contribution to service at two of three university levels; evidence of service to the profession.</p> <p>Ratings of “High” in current year and at least “Good” in prior year as per achievement criteria for service (see Table 6).</p>	<p>Documentation over time provides evidence of contribution to service at all university levels; multiple sources of evidence of service to the profession.</p> <p>Ratings of “Outstanding” in current year and at least “High” in prior year as per achievement criteria for service (see Table 6).</p>

**NOTE:** Promotion at this level requires a rating of “Outstanding” in scholarship and at least “High” in one other area.

**Table 12.** Examples of benchmarks and rating for evaluation of a **Research Faculty** for promotion from **Associate Professor** to **Full Professor**. An individual need not achieve every aspect in order to achieve a given rating, but the preponderance of evidence should support the rating assignment.

	<b>GOOD</b>	<b>HIGH</b>	<b>OUTSTANDING</b>
<b>TEACHING</b>	<p>Documentation over time provides a record of effective teaching in the education of undergraduates, medical students, graduate students, and/or other trainees.</p> <p>Ratings of “Good” in current and previous year as per achievement criteria for teaching (see Table 4).</p>	<p>Documentation over time provides a record of active and effective teaching in the education of undergraduates, medical students, graduate students, and/or other trainees.</p> <p>Ratings of “High” in current and previous year as per achievement criteria for teaching (see Table 4).</p>	<p>Documentation over time provides a record of excellence and responsiveness in teaching and curriculum design in the education of undergraduates, medical students, graduate students, and/or other trainees.</p> <p>Ratings of “Outstanding” in current and previous year as per achievement criteria for teaching (see Table 4).</p>
<b>SCHOLARLY &amp; CREATIVE ACTIVITY</b>	<p>Documentation over time provides evidence for national, international recognition for scholarly activity; potential for future funding.</p> <p>Ratings of “Good” in current and previous year as per achievement criteria for scholarship (see Table 5).</p>	<p>Documentation over time provides good evidence for national, international recognition for scholarly activity, participation in grant submission, and expectation for future funding.</p> <p>Ratings of “High” in current and previous year as per achievement criteria for scholarship (see Table 5).</p>	<p>Documentation over time provides strong evidence for national, international recognition for scholarly activity and achievement of some extramural funding and/or significant funding submission.</p> <p>Ratings of “Outstanding” in current and previous two years as per achievement criteria for scholarship (see Table 5).</p>
<b>SERVICE</b>	<p>Documentation over time provides evidence of contribution to service at at least one of three university levels; evidence of potential service to the profession.</p> <p>Ratings of “Good” in current and previous year as per achievement criteria for service (see Table 6).</p>	<p>Documentation over time provides evidence of contribution to service at two of three university levels; evidence of service to the profession.</p> <p>Ratings of “High” in current and previous year as per achievement criteria for service (see Table 6).</p>	<p>Documentation over time provides evidence of contribution to service at all university levels; multiple sources of evidence of service to the profession.</p> <p>Ratings of “Outstanding” in current year and at least “High” in prior year as per achievement criteria for service (see Table 6).</p>

**NOTE:** Promotion at this level requires a rating of “Outstanding” in scholarship and either “Outstanding” in teaching or “High” in teaching and service.



## **CRITERIA FOR PROMOTION TEACHING FACULTY**

The major criterion for promotion of Teaching faculty is excellence in teaching, scholarly productivity in the area of education and effectiveness in professional service. Faculty with Teaching appointments will be evaluated in a manner that is consistent with their faculty title and reflective of their percent of effort in the areas of Research & Scholarly Activity and Service. The promotion and tenure committee will assign ratings of “Does Not Meet Expectations,” “Good,” “High,” and “Outstanding” to these areas based upon the preponderance of evidence supplied by the candidate in their evaluation dossier that addresses those promotion criteria outlined in Tables 13–14.

**Table 13.** Examples of benchmarks and rating for evaluation of **Teaching Faculty** for promotion from **Assistant Professor** to **Associate Professor**. An individual need not achieve every aspect in order to achieve a given rating, but the preponderance of evidence should support the rating assignment.

	<b>GOOD</b>	<b>HIGH</b>	<b>OUTSTANDING</b>
<b>TEACHING</b>	<p>Documentation over time provides a record of effective teaching in the education of undergraduates, medical students, graduate students, and/or other trainees.</p> <p>Ratings of “Good” in current and previous year as per achievement criteria for teaching (see Table 4).</p>	<p>Documentation over time provides a record of active and effective teaching in the education of undergraduates, medical students, graduate students, and/or other trainees.</p> <p>Ratings of “High” in current year as per achievement criteria for teaching (see Table 4).</p>	<p>Documentation over time provides a record of excellence and responsiveness in teaching and curriculum design in the education of undergraduates, medical students, graduate students, and/or other trainees.</p> <p>Ratings of “Outstanding” in current year and at least “High” in previous year as per achievement criteria for teaching (see Table 4).</p>
<b>SCHOLARLY/CREATIVE</b>	<p>Documentation over time provides evidence for national, international recognition for scholarly activity; potential for future funding.</p> <p>Ratings of “Good” in current and previous year as per achievement criteria for scholarship (see Table 5).</p>	<p>Documentation over time provides good evidence for national, international recognition for scholarly activity, participation in grant submission, and expectation for future funding.</p> <p>Ratings of “High” in current year and at least “Good” in prior year as per achievement criteria for scholarship (see Table 5).</p>	<p>Documentation over time provides strong evidence for national, international recognition for scholarly activity and achievement of some extramural funding and/or significant funding submission.</p> <p>Ratings of “Outstanding” in current year and at least “High” in prior year as per achievement criteria for scholarship (see Table 5).</p>
<b>SERVICE</b>	<p>Documentation over time provides evidence of contribution to service at at least one of three university levels; evidence of potential service to the profession.</p> <p>Ratings of “Good” in current and previous year as per achievement criteria for service (see Table 6).</p>	<p>Documentation over time provides evidence of contribution to service at two of three university levels; evidence of service to the profession.</p> <p>Ratings of “High” in current year and at least “Good” in prior year as per achievement criteria for service (see Table 6).</p>	<p>Documentation over time provides evidence of contribution to service at all university levels; multiple sources of evidence of service to the profession.</p> <p>Ratings of “Outstanding” in current year and at least “High” in prior year as per achievement criteria for service (see Table 6).</p>

NOTE: Promotion at this level requires a rating of “Outstanding” in teaching and at least “High” in one other area.

**Table 14.** Examples of benchmarks and rating for evaluation of an **Teaching Faculty** for promotion from **Associate Professor** to **Full Professor**. An individual need not achieve every aspect in order to achieve a given rating, but the preponderance of evidence should support the rating assignment.

	<b>GOOD</b>	<b>HIGH</b>	<b>OUTSTANDING</b>
<b>TEACHING</b>	<p>Documentation over time provides a record of effective teaching in the education of undergraduates, medical students, graduate students, and/or other trainees.</p> <p>Ratings of “Good” in current and previous year as per achievement criteria for teaching (see Table 4).</p>	<p>Documentation over time provides a record of active and effective teaching in the education of undergraduates, medical students, graduate students, and/or other trainees.</p> <p>Ratings of “High” in current and previous year as per achievement criteria for teaching (see Table 4).</p>	<p>Documentation over time provides a record of excellence and responsiveness in teaching and curriculum design in the education of undergraduates, medical students, graduate students, and/or other trainees.</p> <p>Ratings of “Outstanding” in current and previous two years as per achievement criteria for teaching (see Table 4).</p>
<b>SCHOLARLY &amp; CREATIVE ACTIVITY</b>	<p>Documentation over time provides evidence for national, international recognition for scholarly activity; potential for future funding.</p> <p>Ratings of “Good” in current and previous year as per achievement criteria for scholarship (see Table 5).</p>	<p>Documentation over time provides good evidence for national, international recognition for scholarly activity, participation in grant submission, and expectation for future funding.</p> <p>Ratings of “High” in current and previous year as per achievement criteria for scholarship (see Table 5).</p>	<p>Documentation over time provides strong evidence for national, international recognition for scholarly activity and achievement of some extramural funding and/or significant funding submission.</p> <p>Ratings of “Outstanding” in current and previous year as per achievement criteria for scholarship (see Table 5).</p>
<b>SERVICE</b>	<p>Documentation over time provides evidence of contribution to service at at least one of three university levels; evidence of potential service to the profession.</p> <p>Ratings of “Good” in current and previous year as per achievement criteria for service (see Table 6).</p>	<p>Documentation over time provides evidence of contribution to service at two of three university levels; evidence of service to the profession.</p> <p>Ratings of “High” in current and previous year as per achievement criteria for service (see Table 6).</p>	<p>Documentation over time provides evidence of contribution to service at all university levels; multiple sources of evidence of service to the profession.</p> <p>Ratings of “Outstanding” in current year and at least “High” in prior year as per achievement criteria for service (see Table 6).</p>

NOTE: Promotion at this level requires a rating of “Outstanding” in teaching and either “Outstanding” in scholarship or “High” in scholarship and service.

## CRITERIA FOR APPOINTMENT OF FACULTY TITLES

### SCIENTIST SCHOLAR

	<b>ASSISTANT PROFESSOR</b>	<b>ASSOCIATE PROFESSOR</b>	<b>PROFESSOR</b>
<b>TEACHING</b>	For appointment 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 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 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.
<b>SCHOLARLY &amp; CREATIVE ACTIVITY</b>	For appointment 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 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 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.
<b>SERVICE</b>	For appointment 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 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 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

	<b>ASSISTANT PROFESSOR</b>	<b>ASSOCIATE PROFESSOR</b>	<b>PROFESSOR</b>
<b>TEACHING</b>	For appointment 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 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 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..
<b>SCHOLARLY &amp; CREATIVE ACTIVITY</b>	For appointment 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 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 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.
<b>SERVICE</b>	For appointment 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 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 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.

## RESEARCH FACULTY

	ASSISTANT PROFESSOR	ASSOCIATE PROFESSOR	PROFESSOR
<b>SCHOLARLY &amp; CREATIVE ACTIVITY</b>	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.	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.

## TEACHING FACULTY

	ASSISTANT PROFESSOR	ASSOCIATE PROFESSOR	PROFESSOR
<b>TEACHING</b>	For appointment to ASSISTANT PROFESSOR, the faculty member must have potential for or demonstrated ability to conduct Scholarly Teaching	For appointment to ASSOCIATE PROFESSOR, the faculty member must have evidence of major teaching responsibilities and demonstrated excellence in Scholarly Teaching	For appointment to PROFESSOR, the faculty member must have demonstrated sustained excellence in Scholarly Teaching. The faculty member must have demonstrated educational leadership and contributed to presentations and/or publications related to Scholarly Teaching and/or the Scholarship of Teaching and Learning. Recognition for excellence in teaching is expected.
	Teaching faculty <b>may</b> participate in scholarly and creative activities along with other activities (i.e. service) to support the departmental mission and goals.		

## Appendix A

### Additional Guidance for the Use and Interpretation of the Population Health Guidelines for Promotion and Tenure

#### Distinction between Evaluation Years Regarding Tenure

Year One	In year one faculty undergo a formal evaluation of teaching/advising, research/ scholarly activity and service. In addition to the formal evaluation, faculty focus on goal setting in each of the three areas: Teaching; Research and Scholarly Activities; and Service. Effective presentation of evaluation materials is expected. Emphasis is placed on setting goals for the following year, as well as subsequent years, and should reflect the mutually-negotiated goals established by the faculty and their Chair/supervisor.
Year Two	In year two the emphasis is on evaluation intended to guide development. Goal setting for subsequent years is also important. Effective presentation of evaluation materials is expected. To maintain satisfactory progress towards tenure, the faculty member should maintain at least High ratings in all areas and should achieve an Outstanding rating in at least one area.
Year Three	In year three the emphasis is on evaluation that continues to focus on development and goal setting. Some achievement of goals should be evident, particularly in the area of scholarship. Effective presentation of evaluation materials is expected. Satisfactory progress toward tenure requires maintaining at least High ratings in all areas and attaining an Outstanding rating in at least one area, ideally in the area where the percent effort is greatest.
Year Four	The purpose of evaluation in year four is to provide the faculty member with constructive feedback on their progress towards tenure regarding professional accomplishments and presentation of evaluation materials. At minimum, satisfactory progress towards tenure is indicated by a rating of High in two areas with Outstanding in the area where effort is the greatest. Ratings of Good indicate unsatisfactory progress toward tenure. Effective presentation of evaluation materials is expected. Year four is a cumulative evaluation, including all years of tenure track work in the Department.
Year Five	To consider progress towards tenure as satisfactory in year five, faculty must not be rated Good in any area, and must be rated Outstanding in one or more areas of evaluation. Effective presentation of evaluation materials is expected.

Year Six	<p>All faculty members are required to go through the tenure decision process no later than year six. Note that a faculty member may request a tenure review earlier than year six. Likewise, a faculty member may request a tenure review extension beyond year six if extenuating circumstances meet the University criteria for extension. This latter request must be made before the end of the fifth academic-year.</p> <p>A favorable tenure review typically requires a supportive statement from the Department Chair and a supportive statement from the College Dean. A summary of previous evaluation ratings must reveal annual achievement of at least one Outstanding rating in years 3, 4 and 5. At least one Outstanding in year 5 should be in the area in which effort is the greatest. If there are Good ratings in any of these years, the portfolio must reflect continued improvement in those areas. After year three, there should be no Good ratings. Effective presentation of evaluation materials is expected.</p>
Three Year Post-Tenure	<p>At minimum, faculty members are expected to maintain ratings of High in at least two of the three evaluation areas, with the third area receiving a rating of Outstanding.</p>
Faculty with tenure credit from another setting	<p>The faculty member's record of scholarly activity (e.g., articles and presentations) is reviewed in its entirety. The record of teaching and service completed in service of the department are important to determining evaluation ratings.</p>

### **Guidelines for Scholarly Work in the Department of Population Health**

An essential component of scholarship is publication. At its most fundamental, "publication" means "to make public," traditionally via print, though electronic and video publications are increasingly common. The essence of "publication" is that the material is retrievable by other scholars.

Publications exist in various formats, e.g., peer-reviewed scientific/educational journals, books, book chapters and conference proceedings, videos, etc. For the purpose of evaluating productivity in the Department of Population Health, peer-reviewed publications (i.e., papers in reputable scientific/professional journals) are a critical component of scholarship and must comprise a significant portion of the body of evidence for overall scholarly productivity. Other forms of publication which meet the above definitions and for which a case can be made for quality control (e.g., policy briefs that are reviewed by panels of experts and/or government agencies prior to dissemination; refereed conference proceedings) are also strong evidence of scholarly productivity. Other forms of publication that have not undergone peer-review are not accorded the same weight as peer-reviewed publications. Note the fact that some documents may be printed and made public (e.g., informational brochures, community bulletins, etc.) does not confer upon them the status of scholarship, although such materials may be evidence of professional and/or community service. Some published works, such as editorials, television/radio/internet appearances and published testimony), may be considered "publications" on a case-by-case basis.



Scholarly products (in print or electronic formats) include contributions to the profession through refereed and sometimes through invited works (e.g., invited chapter in a refereed book, or invited article in a high profile publication) such as presentations, journal articles, book chapters, books, conference proceedings, reports (e.g., executive summary of a project by a professional organization) and grants. Non-refereed works at times may be included as scholarship and their evaluation would depend on explanation provided by the faculty member being evaluated, but generally, non-refereed publications and presentations (e.g., non-refereed state level presentations or newsletter articles) are viewed as service to the profession. Some examples of non-peer reviewed products include scientific websites, policy briefs, white papers, that are often federally—mandated products and which are reviewed extensively by the federal funding agency staff and others. (These products pertain largely to faculty in the research [non-tenure] track.) Competitive grant-writing that is research-based or leads to securing external funds and/or contracts for large education-based projects is viewed as scholarly activity. Internally secured research grants that are highly competitive (e.g., UND Senate seed money research grants) are viewed as scholarly achievement. Small and/or non-competitive grants as well as on-going grant-related activities are typically considered service to the profession. See the list of scholarly products later in this document for additional information.

## **Evaluation of Published Work in the Department of Population Health**

### ***Quality of Work***

Published work can be evaluated via its quality, quantity and the individual's role in the work. Publications with medical and graduate student authors is strongly encouraged, as this is evidence of both scholarship and teaching.

Faculty should recognize that a comprehensive appraisal of the quality of a given scientific paper or academic work can seldom be made by members of a promotions and tenure committee or Department Chair whose area of expertise may differ from the faculty member being reviewed. Consequently, decisions about the quality of the publication often depend, in large part, upon an evaluation of the venue in which the work is published. It is therefore important for faculty to be knowledgeable about the quality of publication venues in their fields and to try to publish in those with high standing within them. It is incumbent upon the faculty member to make the case for quality and impact of any given work.

At a minimum, research should be published in journals recognized by Medline (PubMed) or a social science equivalent, e.g., Social Science Citation Index (SSCI), Psychology Abstracts, etc., since publications not indexed by these portals are not visible to other scholars. When applying for promotion and/or tenure, faculty may wish to list the "Impact Factor" for each journal, which is one attempt to measure of the journal's influence in its field (see below). Additionally, the applicant may list other facts that support the publication's influence (e.g., the number of times a given work has been cited, although this is most useful for papers that have had sufficient time to accrue citations).

To make the evaluation of scholarship more objective, in 1975 Thomson Reuters began to publish an "Impact Factor" for journals, the Science Citation Impact and the Social Science Citation Impact. Details on this index are available at: <http://wokinfo.com/essays/impact-factor/> The following paragraph taken from that website illustrates the use of the Impact Factor.

The *JCR* provides quantitative tools for ranking, evaluating, categorizing, and comparing journals. The impact factor is one of these; it is a measure of the frequency with which the "average article" in a journal has been cited in a particular year or period. The annual *JCR* impact factor is a ratio between citations and recent citable items published. Thus, the impact factor of a journal is calculated

by dividing the number of current year citations to the source items published in that journal during the previous two years (see Figure 1).

**Figure 1: Calculation for journal impact factor.**

**A**= total cites in 1992

**B**= 1992 cites to articles published in 1990-91 (this is a subset of A)

**C**= number of articles published in 1990-91

**D**=  $B/C$  = 1992 impact factor

The impact factor is useful in clarifying the significance of absolute (or total) citation frequencies. It eliminates some of the bias of such counts which favor large journals over small ones, or frequently issued journals over less frequently issued ones, and of older journals over newer ones. Particularly in the latter case such journals have a larger citable body of literature than smaller or younger journals. All things being equal, the larger the number of previously published articles, the more often a journal will be cited.

Although a journal's Impact Factor is not a surrogate for the overall quality of the publication, this metric is increasingly common in academic evaluations. The Impact Factor is one of several factors that may influence a faculty member's choice of journal. For example, in some fields, the predominant academic forum may reside in one or two specialty journals (independent of their Impact Factor *per se*), and this fact may be an important factor in journal selection.

It should further be recognized that impact factor is not the sole or necessarily most important measure of scholarly quality. It is the responsibility of the faculty to make the case for scholarly quality in cases where the impact factor is unavailable or, in the eyes of the faculty member, is an insufficient or misleading measure. For example, when a journal's readership is small because it is tightly focused on one area of research, its impact factor is likely to be modest. Yet, such a journal may in fact be read by every researcher in that area of research, thus constituting a nearly 100% "impact" on the researchers within that area of study. Invited manuscripts, essays, and speeches may similarly be a measure of a researcher's standing in their field. Digital publications, such as websites (educational or informational) policy analyses, software, etc., may never generate an impact factor, but may have other evidence of impact such as number of viewers, downloads, page hits, etc.

Some metrics of quality for research are presented later in this document and should be used a guide for scholarly quality, but additional forms of scholarship and quality not covered by those standards should be analyzed by the faculty member in a good faith, best case effort.

**Quantity of Work**

It is not possible to specify precisely the number of publications expected from faculty, as this will depend upon numerous factors, such as seniority (e.g., faculty with established research programs may be more productive than faculty beginning a research program) and whether the faculty member is in the scientist scholar or educator scholar track. However, at a minimum, and on average, faculty who are educator scholars in the tenure track should publish at least one paper per year and faculty who are scientist scholars should publish at least two papers per year. However, this guideline is also dependent on a faculty member's distribution of effort, as it is possible, for example, that faculty with large administrative responsibilities within the School of Medicine may have less time dedicated to individual scholarship *per se*. Faculty in the research track, whose employment contract often involves sponsored research (e.g., reports to governmental agencies), are not subject to the same

expectations regarding peer-reviewed publications as are faculty in the tenure track. Faculty and their chair/supervisor should be clear and specific about these expectations in annual reviews, percentage of effort, and CPT dossier materials.

### **Role of the Faculty Member in the Work**

The role of the individual faculty member in a given publication can vary widely, from first or senior-author in a paper with few (or no) co-authors, to middle authorship on a multi-authored paper. For evaluation purposes, faculty members may use the current procedure of many journals which identifies the roles played by each author (e.g., Conception and Data Acquisition, Data Analysis, Supervision, etc.) and faculty are encouraged to adopt this practice in publication or in their presentation and evaluation of their promotion and/or tenure dossiers. In general, it is the responsibility of the individual faculty member to explain what is important/novel about a given publication and the faculty's role in it, and to be able to convey that information to the promotions and tenure committee and to the Department Chair.

The department values and encourages intra- and interdisciplinary scholarship and recognizes that this leads to multiple author publications. In general, however, faculty should strive for some primary authorship and/or sole author publications. It is up to the faculty to make the case for the number and proportion of sole, first, and multiple author publications in terms of their primary contribution, especially where order and/or number of authors may not convey the depth and quality of the faculty member's contribution. In general, major publications should represent a mix of publication types as appropriate.

In addition to the list of major and minor publications found in the section entitled "Quality and Quantity of Published Work," earlier, the Educator Scholar track provides both an additional opportunity and expectation for scholarship around the design and development of instructional materials. This form of scholarship may constitute major or minor publications, as described below, but **must** meet standards for educational scholarship that extends beyond the "typical" creation of instructional materials. For example, all faculty titles are required to engage in some form of teaching which, in turn, generally requires the creation of some form of instructional materials (e.g., PowerPoint slides, syllabus). The routine creation of such materials does NOT constitute major or minor scholarship for the educator scholar track. In order for such materials to constitute scholarship, the candidate must provide evidence of the quality of the materials and the design process used to create them. This can take many forms, and the candidate is encouraged to present the case for the quality of the materials in the way that best reflects the materials, purpose, and goals for the instruction. There are, however, at least two ways to ensure that the materials count as major scholarship:

- 1) Detailed analysis of the process used to analyze, design, develop, implement, and evaluate the materials:
  - a) specification of the instructional problem, including evidence to support the nature and significance of the problem
  - b) evidence for the suitability, efficacy, or innovation of the instructional strategy(ies) adopted
  - c) analysis of the context for the instruction such as analysis of the learners and constraints of the environment in which the instruction will occur
  - d) specification of the outcomes, objectives, and methods of assessment
  - e) analysis of data regarding the effectiveness of the new or revised instruction, sometimes referred to as summative evaluation
  - f) plans and/or actions taken to apply the results of the evaluation

**The amount of effort and documentation devoted to the above process for each piece of education scholarship should be equivalent to the work put in during the development of “traditional” journal article scholarship, and should adhere to the same standards regarding multiple authorship as described earlier in this document.**

- 1) Publication/dissemination of instructional materials through some form of peer-review:
  - a) Established peer-reviewed dissemination venues such as Merlot or Open Education Resources

**Open Education Resources (<http://libguides.und.edu/c.php?g=434530&p=2962391>) constitutes the “gold standard” for establishing quality of publication/dissemination around the development of teaching materials and shall be viewed as equivalent to a major publication with a high impact factor.**

### **“Predatory Publishers”**

Faculty are strongly discouraged from publishing in journals that are associated with “predatory practices”. The terms “predatory publishing” or “predatory journals” refer to electronic journals that have unprofessional publishing practices, including lack of genuine peer review. These journals publish for a fee and typically exist only electronically.

The fact a journal is indexed by PubMed or other indexing forum does not guarantee it is not a predatory journal. (In this regard, note that “fee for publishing” is not equivalent to “open access”. Many legitimate [non-predatory journals] offer “open access” publication, which is a means to allow non-subscribers access to subscription journals, for a fee paid by the author. However, these journals include traditional peer review [and often publish the names of the reviewers]).



**RECOMMENDATION FOR PROMOTION IN ACADEMIC RANK**

Name of Faculty Member: \_\_\_\_\_ Date of Submission: \_\_\_\_\_

Current Academic Rank: \_\_\_\_\_ Years in Current Rank: \_\_\_\_\_ Years at UND: \_\_\_\_\_

Academic Department: \_\_\_\_\_ Highest Degree: \_\_\_\_\_

As to the recommendation for promotion to academic rank of: \_\_\_\_\_

**Action of the Departmental Committee on Promotion and Tenure**

_____	Recommend promotion	Votes for _____
_____	Does not recommend promotion	Votes against _____

\_\_\_\_\_  
Signature, Dept. CPT Chair

**Action of the Department Chair**

_____	Recommend promotion
_____	Does not recommend promotion

\_\_\_\_\_  
Signature, Departmental Chair

**Action of the SMHS Committee on Promotion and Tenure**

_____	Recommend promotion	Votes for _____
_____	Does not recommend promotion	Votes against _____

\_\_\_\_\_  
Signature, SMHS CPT Chair

**Action of the Dean**

_____	Recommend promotion
_____	Does not recommend promotion

\_\_\_\_\_  
Signature, Dean SMHS



**RECOMMENDATION FOR TENURE IN ACADEMIC RANK**

Name of Faculty Member: \_\_\_\_\_ Date of Submission: \_\_\_\_\_

Current Academic Rank: \_\_\_\_\_ Years in Current Rank: \_\_\_\_\_ Years at UND: \_\_\_\_\_

Academic Department: \_\_\_\_\_ Highest Degree: \_\_\_\_\_

As to the recommendation for tenure:

**Action of the Departmental Committee on Promotion and Tenure**

_____	Recommend tenure	Votes for _____
_____	Does not recommend tenure	Votes against _____

\_\_\_\_\_  
Signature, Dept. CPT Chair

**Action of the Department Chair**

_____	Recommend tenure
_____	Does not recommend tenure

\_\_\_\_\_  
Signature, Departmental Chair

**Action of the SMHS Committee on Promotion and Tenure**

_____	Recommend tenure	Votes for _____
_____	Does not recommend tenure	Votes against _____

\_\_\_\_\_  
Signature, SMHS CPT Chair

**Action of the Dean**

_____	Recommend tenure
_____	Does not recommend tenure

\_\_\_\_\_  
Signature, Dean SMHS



## APPENDIX D

( <https://und.edu/academics/ttada/documenting-teaching.html> )

### RESOURCES FOR TEACHING EVALUATION

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UND Policy on Teaching Evaluation Approved at May 1, 2003 Senate meeting

The evaluation of teaching has two distinct purposes: formative and summative. Formative evaluation is that which gathers information for the use of the instructor in improving his or her own teaching. Summative evaluation gathers information to be used by colleagues and administrators for the purpose of making decisions about retention, tenure, promotion, and merit salary increases.

Although the policy set forth here applies only to summative evaluation of teaching, the information collected in the course of the evaluation process may also be used for formative evaluation when appropriate. It is important to note, however, that information gathered solely for purposes of formative evaluation is intended only for the use of the faculty member, and should be used in summative reviews only with his/her permission.

#### Frequency and Extent of Evaluation

The teaching performance of all instructors, regardless of their academic rank or tenure status, is subject to evaluation annually.

- All faculty, regardless of status (probationary, tenured, and non-tenure track), must be evaluated as part of the annual review process, as well as for decisions regarding tenure and promotion. In each case, the faculty member being evaluated is expected to provide evidence of effective teaching in the form of at least three sources of data, one of which must be students.
- Graduate teaching assistants must be evaluated annually as well, in a manner appropriate to their teaching assignment.

#### Aspects of Teaching to be Evaluated

The evaluation process should reflect the full range of teaching activities, including classroom teaching, mentoring, course and curriculum development, laboratory, clinical, or studio supervision, direction of independent research projects, scholarly/grant activity related to teaching, learning assessment activity, advising, etc.

Although it is important to acknowledge the unique nature of each individual's teaching situation, and to set flexible standards accordingly, it is expected that all instructors will be able to show evidence of these five basic hallmarks of good teaching:

- respect for students
- command of the subject matter
- careful preparation
- effective communication
- continuing professional growth.

## **Roles of the Various Parties**

*Role of the College.* It is the role of the college to ensure that evaluation of teaching is conducted in a fair and reasonable manner, and with as much consistency as possible across the college. In addition to the expectations outlined here, each college may specify other aspects of teaching to be evaluated and other sources of data on teaching to be supplied by the department and/or faculty member.

*Role of the Department.* It is the role of the department to set reasonable expectations in regard to teaching, to communicate those expectations clearly, and to assist and support faculty in their professional development as teachers. Toward this end, each department shall develop a written statement of expectation for effective teaching within the department. At minimum, this statement should address the basic expectations outlined in (2) above. In addition to university and college expectations, each department may specify other aspects of teaching to be evaluated, additional expectations to be met, and additional documentation materials to be supplied by the faculty member. The department's statement on teaching evaluation policy should be kept on file in the department, distributed to each department member, and attached to all recommendations regarding retention, tenure, promotion, and reward going beyond the department. The department should also be prepared to assist faculty in meeting departmental expectations, and/or to refer them to appropriate campus resources to support their teaching.

*Role of the Faculty Member.* It is the role of the faculty member, in collaboration with the department chair, to take an active part in his or her evaluation by providing materials that give a complete picture of his/her teaching, by organizing those materials in an accessible manner, and by making herself/himself available for discussion of those materials with peers and administrators. In addition to materials required by the department, college, and university, the individual faculty member may submit any additional materials deemed appropriate to the evaluation process.

## **Potential Sources of Data**

As noted earlier, each faculty member being evaluated is expected to provide evidence of effective teaching in the form of at least three sources of data in consultation with the chair, one of which must be students.

*Student-Provided Data* - may be gathered using the SELFIE or other student feedback forms, and/or by carefully documenting student feedback gathered by the department chair or immediate teaching supervisor. All student data will be offered voluntarily.

The other two sources of data to be used in the evaluation of teaching may vary from one department to the next. They include:

- *Instructor-Provided Materials/Portfolios* -may include reflective statements on teaching, syllabi, descriptions of class activities, writing assignments, tests, videotapes, evidence of scholarly activity related to teaching, lists of classes taught, independent projects or theses supervised, graduate committees served on, reports on course or curriculum development work, written responses to student feedback, etc.
- *Documented Evidence of Student Learning or Performance* --student work samples, performances, test results, etc.



- *Documented Data from Peers* - based on formal observation of classroom teaching, review of teaching materials/portfolios, or observations of other teaching-related work (in graduate committees, curriculum planning sessions, etc.)
- *Documented Data from the Chair* - based on formal observation of classroom teaching, review of teaching materials/portfolios, or observations of other teaching-related work (in graduate committees, curriculum planning sessions, etc.)

## **Use of Student Feedback**

NDUS policy states that "evaluations of all teaching faculty must include significant student input" (Academic Freedom and Tenure; Academic Appointments). In order to present a broad and accurate view of teaching, summative data should be gathered regularly, from a wide range of classes over several semesters. It is the responsibility of the department and/or college, to create appropriate mechanisms for gathering student input.

*Informal Feedback.* In addition to soliciting formal feedback for summative purposes, faculty are encouraged to solicit frequent informal feedback for purely formative purposes--that is, for the sole purpose of improving teaching and learning. Informal feedback may take the form of SGIDs, informal surveys, or other classroom assessment techniques and may be used by the individual teacher as he or she sees fit. Unless and until the instructor chooses to offer such data to evaluators, it should not be part of the evaluation process.

*Mixed Data.* When formal numerical data is mixed with informal written data, as is often the case with student feedback forms, only the numerical data will be reported to the chair and dean. However, because it is important that teaching not be reduced to a numerical rating, it is recommended that faculty share student written comments with evaluators as well. At the same time, because written student comments represent only the perspective of those who choose to make them, it is also recommended that department and college evaluators recognize the limitations of such data and seek to corroborate it using other sources. Because written data provided by students on anonymous end-of-semester questionnaires is protected by FERPA (Family Educational Rights and Privacy Act), all reasonable care must be taken to see that such data is not traceable to individual students.

*Aggregate Data.* Aggregate data from the STUDENT EVALUATION forms will be compiled by the Office of Institutional Research and distributed to individual faculty members, department chairs, and deans. Any other aggregate data used for comparison purposes in the evaluation of individual faculty members should also be made available to those faculty members.

## **APPENDIX E: PORTFOLIO/DOSSIER CHECKLISTS FOR ACADEMIC AND SPECIAL APPOINTMENT FOR PROMOTION, TENURE, AND POST-TENURE EVALUATIONS**

### **Probationary (Tenure Track)**

1. Chair's Letter (all years since employment)
2. Department CPT Letter (all years since employment)
3. Department CPT Membership
4. Curriculum Vitae
5. Position Description (all available)
6. Percent of Effort forms (all years since employment)
7. Tenure Plan
8. SMHS Annual Performance Evaluations (all years since employment)
9. Faculty Self Evaluation
10. Documentation of patient care activity (if in clinician scholar track)
11. Documentation of teaching activity and effectiveness:
  - a. A personal statement and analysis of teaching
    - i. Original student evaluation forms
    - ii. A table of courses and student evaluation means for courses along with department, school, and university averages for comparison
    - iii. Advising activity
12. Personal Statement, Analysis, and Documentation of Scholarship
13. Personal Statement, Analysis, and Documentation of Service
14. Optional Materials
  - a. Appendix

### **Promotion and Tenure (Tenure Track)**

1. Form: Recommendation for Promotion in Academic Rank
2. Form: Recommendation for Award of Tenure
3. Chair's Letters (all since employment)
4. Department CPT Letter
5. Department CPT Membership
6. Curriculum Vitae
7. Position Description (all available)
8. Percent of Effort forms (all years since employment)
9. Tenure Plan
10. SMHS Annual Performance Evaluations (all years since employment, promotion, or tenure)
11. Self-Evaluation
12. A personal statement and analysis of teaching
  - a. Original student evaluation forms
  - b. A table of courses and student evaluation means for courses along with department, school, and university averages for comparison
  - c. Advising activity
13. Personal Statement, Analysis, and Documentation of Scholarship
14. Personal Statement, Analysis, and Documentation of Service
15. External Evaluations (3 letters)
16. Optional Materials
  - a. Appendix

### **Post Tenure (Tenure Track)**

1. Chair's Letter (all years since last evaluation)
2. Department CPT Letter (since last evaluation)
3. Department CPT Membership
4. Curriculum Vitae
5. Position Description (since last evaluation)
6. Percent Effort Forms (all years since last evaluation)
7. SMHS Annual Performance Evaluations (all years since last evaluation)
8. Self-Evaluation
9. A personal statement and analysis of teaching
  - a. Original student evaluation forms
  - b. A table of courses and student evaluation means for courses along with department, school, and university averages for comparison
  - c. Advising activity
10. Personal Statement, Analysis, and Documentation of Scholarship
11. Personal Statement, Analysis, and Documentation of Service
12. Optional Materials
  - a. Appendix

### **Promotion (Tenure Track and Special Appointment)**

1. Form: Recommendation for Promotion in Academic Rank
2. Chair's Letter (all years since last evaluation)
3. Department CPT Letter (all years since last evaluation)
4. Department CPT Membership
5. Curriculum Vitae
6. Position Description (date of employment, last evaluation, and current)
7. Percent of Effort forms (all years since last evaluation)
8. SMHS Annual Performance Evaluations (all years since last evaluation)
9. Self-Evaluation
10. A personal statement and analysis of teaching
  - a. Original student evaluation forms
  - b. A table of courses and student evaluation means for courses along with department, school, and university averages for comparison
  - c. Advising activity
11. Personal Statement, Analysis, and Documentation of Scholarship
12. Personal Statement, Analysis, and Documentation of Service
13. External Evaluation (3 letters)
14. Optional Materials
  - a. Appendix

### **Special Appointment (Non Tenure)**

1. Chair's Letter (all years since last evaluation)
2. Department CPT Letter (all years since last evaluation)
3. Department CPT Membership
4. Curriculum Vitae
5. Position Description (date of employment, last evaluation, and current)
6. Percent Effort Forms (all years since last evaluation)
7. SMHS Annual Performance Evaluations (all years since last evaluation)
8. A personal statement and analysis of teaching
  - a. Original student evaluation forms

- b. A table of courses and student evaluation means for courses along with department, school, and university averages for comparison
  - c. Advising activity
- 9. Personal Statement, Analysis, and Documentation of Scholarship
- 10. Personal Statement, Analysis, and Documentation of Service
- 11. Self-Evaluation
- 12. Optional Materials
  - a. Appendix

Letters of recommendation:

From the department chair and the departmental CPT committee.

From external reviewers\*. 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. The candidate may submit a list of names to the department chair, but the department chair may solicit letters from other qualified peers. Previous mentors, co-authors or close collaborators cannot be external reviewers 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 yet have approved promotion and tenure guidelines, a copy of the School *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.

\*External reviewers should be wholly disinterested, i.e., what has traditionally been known as "at arms-length." The test for being wholly disinterested is that the potential reviewer should not have even the appearance of a vested interest based on his or her own career, nor a personal interest in the career advancement of the faculty member under review.