



**DEPARTMENT OF SURGERY  
GUIDELINES ON EVALUATION  
PROMOTION AND TENURE**

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

Approved by: Department of General Surgery Committee on Promotions and Tenure: 9/28/11

Approved by: Department of General Surgery faculty by majority vote: 9/29/11

Approved by UND School of Medicine Committee on Promotions and Tenure: 10/3/11

## Table of Contents

I.	Introduction	1
II.	Faculty	2
	A. Faculty Titles	2
	B. Academic Title Series	2
	C. Community Title Series	4
	D. Basic Scientist and Research Faculty Title Series	4
III.	Faculty Appointments in the Academic Title Series	6
IV.	Evaluation, Promotion and Tenure Process	6
V.	Departmental Standards	7
	A. Schedule for evaluations	7
	B. Committee Composition	9
	C. General Evaluation Procedures	9
	D. Evaluation Process and Routing for Approval	10
	E. Appeal	11
VI.	Promotion	11
	A. Evaluation, Promotion and Tenure Criteria	12
	B. Basic Scientist Scholar/ Educator Scholar Promotion Criteria	13
	C. Clinician Scholar Promotion Criteria	21
	D. Community Faculty Promotion Criteria	27
	E. Research Faculty Promotion Criteria	30
	F. Procedure for Promotion	31
	G. Timeline for Promotion	31
	H. Documentation	32
	I. Routing for Approval	32
	J. Recommending Authorities and Advisory Groups	32
	K. Appeal	33
VII.	Tenure	33
	A. Recommending Authorities and Advisory Groups	34
	B. Procedures for Tenure Evaluation	34
	C. Procedures for Tenure Review	36
	D. Routing for Approval	37
	E. Appeal	37
	F. Appointments with Tenure	37
Appendix		
I.	Recommendation for Promotion in Academic Rank	38
II.	Recommendation for Award of Tenure	39
III.	Evaluation Form	40
IV.	Resources for Teaching Evaluations ( <a href="http://www.und.edu/dept/oid/evaluation_policy.htm">http://www.und.edu/dept/oid/evaluation_policy.htm</a> )	42
V.	Your Portfolio, Promotion and Tenure	45
VI.	Educator Scholar Track	48
	Basic Scientist Scholar Track	50
	Clinical Scholar Track	52
	Community Faculty Track	54
VII.	Request for Promotion Letter	55
	Employer Evaluation Form of Clinical Competence of Medical School Faculty	56

## **I. INTRODUCTION**

The Department of Surgery and its faculty have unique characteristics and responsibilities. Due to the unique characteristics of the surgery department and faculty, parts of this document will differ from the School of Medicine and Health Sciences (SMHS) Promotion and Tenure Guidelines and from the University Faculty Handbook. For all matters not dealt with in the enclosed document, the SMHS Guidelines and the Faculty Handbook should be used as the guides.

The criteria for promotion and tenure in the Department of Surgery 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 criteria that will be used to evaluate the performance of faculty members for promotion, tenure and post-tenure performance.

Each faculty member is to undergo an academic evaluation for the purpose of promotion and tenure as specified in the School of Medicine and Health Sciences (SMHS) Guidelines. The purpose of the evaluation is to help the faculty improve their performance.

The information required for the evaluation process includes documentation of faculty activities in the areas of teaching, patient care, scholarly and creative activity, contribution to one's discipline or profession, and professional and community service. Not all faculty members will have similar duties and responsibilities in these areas, but all faculty members must have activity in areas spelled out in their contract and/or position description, which is consistent with his/her academic appointment. The departmental chair and individual faculty member will mutually agree upon the contribution to each area. The position description will reflect the requirements of each faculty member in each area. Each faculty member will be evaluated relative to his or her individual duties and responsibilities.

The evaluation instrument is the faculty portfolio, which contains supporting documentation including but not limited to a current curriculum vitae, faculty report of clinical service and teaching, which documents activities in teaching, patient care, scholarly and/or creative activity, contribution to one's discipline or profession, and professional and community service. The faculty portfolio also contains the faculty position description and percentage of effort in each area for faculty members in academic title series, in the basic scientist, clinician, and educator scholar tracts. The Department of Surgery Committee on Promotion and Tenure (CPT) reviews all faculty portfolios and prepares a summary that is submitted to the Chair of the department.

After initial appointment, all faculty members who have had an appointment for more than eleven months will be evaluated in the year of appointment. Initial appointments of less than eleven months will be evaluated the following year. Without the required documentation from the faculty member the CPT will review the faculty members profile for continuation of faculty appointment but the faculty member will not be eligible for promotion.

## **II. FACULTY**

### **A. FACULTY TITLES**

#### 1. Academic Titles

##### a. Basic Scientist Scholar

The Basic Scientist Scholar designation is for faculty members with demonstrated excellence in the discovery of new knowledge through empirical research, are effective teachers and are actively involved in academic service.

##### b. Educator Scholar

The Educator Scholar designation is for faculty members with demonstrated excellence in teaching, educational leadership and curriculum development and administration. Faculty in this title series will be engaged in scholarly and creative activities related to education and actively involved in service

##### c. Clinician Scholar

The Clinician Scholar designation is for clinicians who are involved in patient care, teaching, administrative service as well as scholarship. It will encompass a broad range of clinical faculty members who may choose to emphasize one or more areas of professional activity, e.g. education, curriculum development and administration, service or scholarship.

#### 2. Community Faculty

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

#### 3. Research Faculty

The Research Faculty members are faculty who are dedicated to supporting the research mission of a department. Faculty in this series need not have established an independent reputation in research. These faculty members are encouraged to be involved in teaching; however teaching is secondary to scholarship

### **B. ACADEMIC TITLE SERIES**

#### **1. CHARACTERISTICS OF ACADEMIC RANK**

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

##### **Instructor**

- Earned Bachelor's degree or equivalent training
- Professional certification/licensure, if applicable

- Demonstrates promise as a teacher
- Engaged in professional development

**Assistant Professor**

- Earned M.D., Ph.D., and/or M.S or significant clinical experience commensurate with a terminal degree
- Postgraduate training

Faculty members with the M.D. degree must have board certification. Non-M.D. faculty members should be certified in their fields if such certification is available or applicable.

If appropriate to the discipline, faculty members with other terminal degrees should have completed a postdoctoral experience.

- Potential for effectiveness in teaching
- Effective patient care
- Potential for effectiveness in scholarly and creative activity
- Potential for effectiveness in professional and community service

**Associate Professor**

- Earned M.D. and/or Ph.D or significant clinical experience commensurate with a terminal degree
- Postgraduate training

Faculty members with a M.D. degree must be board certified in their specialty or subspecialty. Non-M.D. faculty members should be certified in their fields if such certification is available or applicable.

If appropriate to the discipline, faculty members with other terminal degrees should have completed a postdoctoral experience.

- Consistent and marked effectiveness in teaching
- Effective patient care
- Scholarly and creative accomplishments of appropriate quality and quantity for time in rank
- Local or regional recognition for scholarly activity
- Consistent and substantial contributions and service to his/her profession and school
- Demonstrated community service

**Professor**

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

- Earned M.D. and/or Ph.D or significant clinical experience commensurate with a terminal degree.
- Postgraduate training:

Faculty members with a M.D. degree should be board certified in their specialty or subspecialty. Non M.D. faculty members should be certified in their fields, if such certification is available or applicable.

If appropriate to the discipline, faculty members with other terminal degrees should have completed a postdoctoral experience.

- Recognition for continued excellence in teaching
- Recognition for excellence in patient care
- 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 his/her profession
- Recognized for community service

## **C. COMMUNITY TITLE SERIES**

### **1. Criteria for Rank**

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

### **2. Characteristics of Community Rank**

#### **Clinical Instructor**

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

#### **Clinical Assistant Professor**

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

#### **Clinical Associate Professor**

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

**Clinical Professor**

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

**D. RESEARCH FACULTY TITLE SERIES**

**1. Recognized Rank**

Research Professor

Research Associate Professor

Research Assistant Professor

**2. Criteria for Rank**

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

**3. Characteristics of Research Rank**

Research Assistant Professor

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

Postgraduate training:

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

Faculty members with the Ph.D. or other terminal degree will be required to have completed a minimum of two years postdoctoral training, 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.

Potential to develop an independent extramurally funded research program.

Potential for effectiveness in departmental and professional service.

Research Associate Professor

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

Postgraduate training:

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

Faculty members with the Ph.D. or other terminal degree will be required to have completed a minimum of two years of postdoctoral training, 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.

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

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

Potential for effectiveness in departmental and professional service.

#### Research Professor

Promotion to Professor is expected to occur on the basis of documented recognition for continued superior performance and not simply on the basis of time in rank as Associate Professor. The individual must have demonstrated a leadership role in departmental activities and/or the professional discipline.

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

Postgraduate training:

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

Faculty members with the Ph.D. or other terminal degree will be required to have completed a minimum of two years of postdoctoral training, 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.

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

Recognition for continued service contributions to his/her profession and school.

### **III. FACULTY APPOINTMENTS IN THE ACADEMIC TITLE SERIES**

#### **A. Academic Title Series**

There are two categories of employment contracts for full-time non-tenured faculty in the academic title series that will apply to the faculty in the Department of Surgery: 1) Probationary contract (tenure-track appointment) and 2) Special contract (non-tenure track appointment). (See SMHS Guidelines for description, Section III. A.).



#### **IV. EVALUATION, PROMOTION AND TENURE PROCESS**

The major purpose of evaluation should be to help the faculty improve their performance. An evaluation should commend faculty for outstanding performance and/or encourage faculty to strengthen weaknesses. The results of the evaluation process will become part of the information used in making promotion, retention and tenure decisions.

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

Documentation in the areas of teaching, patient care, scholarly and/or creative activity, distinctive contributions to one's discipline and profession, and professional and community service shall be according to the promotion criteria. (Section VI and Appendix VI).

#### **V. Departmental Standards**

##### **A. Schedule for Evaluation of Faculty**

##### **Academic Title Series Faculty**

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

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

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

Evaluations of non-tenured faculty on probationary contracts during years one (1), two (2) and four (4) of service are for departmental use only. To ensure completion of the evaluations, a memo signed by the chair of the department and the faculty member indicating the evaluation date and a brief summary of the conclusions shall be submitted to the Office of Academic Affairs. No action by the CPT is necessary for these evaluations.

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

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

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

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

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

### **Academic Title Series Tenured Faculty**

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

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

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

The professional development plan shall identify problem areas or weaknesses, state goals for addressing weaknesses, describe actions to be taken on the part of the faculty member to achieve goals, identify resources and/or allocations necessary to support the development plan, specify criteria for assessment, specify a timeline for implementation (minimum 3 years), describe the process for preparing progress reports, and outline possible courses of action in the event the professional development plan is not successfully completed.

### **Community Title Series Faculty**

Faculty members in the Community Faculty title series at the level of assistant professor will be evaluated every year for the first six years of their appointment and every third year thereafter. These evaluations will be based on the faculty member's performance and involvement with teaching. Clinical associate

professors and clinical professors will be evaluated by the department every third year. However, evaluations will be submitted to the SMHS CPT only if requested by the individual faculty member, departmental chair or the Dean.

Faculty members in the Community Faculty title series at the level of instructor will be evaluated every 3 years after initial evaluation.

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

### **Research Title Series Faculty**

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

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

## **B. Committee Composition**

### **1. Non-tenure**

The department's promotion and tenure committee will consist of a minimum of five faculty members, including all tenured members of the Department of Surgery. This committee will carry out evaluations for promotion for department faculty members that are in Academic, Research, and Community Title Series non-tenure track appointments. Only those faculty members that are at the rank of Associate Professor or Professor, excluding the department chair, are eligible to be members of the committee. At least one committee member should be from the community title series faculty. The committee will have at least one member from each of the clinical campuses. Membership on the committee will be approved by a yearly vote of the department full-time faculty. If a vacancy occurs, the department chair and committee chair may appoint, by mutual consent, to fill the committee position. In the event that fewer than three senior faculty reside in the department, senior faculty will be recruited from other suitable departments. Outside faculty members must be approved by a majority vote of the departmental faculty.

### **2. Tenure**

For those faculty members in the Academic or Research Title Series tenure-track appointment who are being evaluated for tenure, the department committee will include all tenured faculty in the department, excluding the department chair, and must be a minimum of three tenured faculty members. In the event that fewer than three tenured faculty reside in the department, senior non-tenured departmental faculty (department's promotion and tenure committee) or tenured faculty from other suitable departments will serve as the departmental tenure committee. Outside faculty members must be approved by a majority vote of the departmental faculty.

### **C. General Evaluation Procedures**

The following are general guidelines for faculty evaluations:

1. Evaluations are to be a constructive process with the goal of 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 assumes the responsibility of 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.
6. Evaluations may include stipulated conditions for improved performance by which the individual will be appraised in subsequent evaluations.
7. The departmental chair, the Committees on Promotion and Tenure of the department and of the School of Medicine & Health Sciences', the Academic Affairs office and the Dean have access to this information.
8. The UND Policy on Teaching Evaluation ([http://www.und.edu/dept/oid/evaluation\\_policy.htm](http://www.und.edu/dept/oid/evaluation_policy.htm)) should be followed. (See appendix IV)

### **D. 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 in 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.

The department chair will initiate evaluations at the appropriately scheduled intervals as determined by the Office of Academic Affairs. The chair will request the faculty member's portfolio and will set a deadline for receiving the materials. The portfolio will consist of:

- Cover letter by faculty member providing an overview of activity and a self evaluation of performance
- Evaluation and, if applicable, promotion forms
- Current curriculum vitae
- Percent of Effort forms for each year since employment or last evaluation
- Position description at time of employment, last evaluation and currently
- Letter of evaluation from supervisor
- Documentation of patient care activity, if in clinician scholar track
- Documentation of teaching activity and effectiveness

- Documentation of research and scholarly/creative activity
- Documentation of contributions to discipline or profession, and community service
- Letters of recommendation, if applying for promotion
- Other material considered appropriate by the faculty member

More detailed information concerning content and format of the portfolio is contained in “Your Portfolio, Promotion and Tenure: A Guide to Preparing Your Portfolio,” by Mary Ann Laxen. (See Appendix V)

For faculty seeking promotion, the deadline for submission of all materials to the department chair’s office is September 15. For faculty up for evaluation, the deadline is January 31.

The chair will submit the materials collected from the faculty member to the departmental CPT committee. The committee will evaluate the materials and send a written report to the department chair 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:

- a. Areas of strength
- b. Areas needing improvement
- c. Progress on professional development goals since the last evaluation
- d. Professional development goals for the upcoming year
- e. Relationship between individual’s professional development goals and the Department’s goals

When the department evaluation is complete, the chair will submit the following to the Office of Academic Affairs:

- Summary of findings and recommendations by the departmental CPT.
- Summary of findings and recommendations by the departmental chair.

The Office of Academic Affairs will distribute the materials to the School of Medicine & Health Sciences CPT, according to the evaluation schedule. The SMHS 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.

## **E. 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 Academic Staff (Academic Freedom, Tenure and Due Process (Faculty Handbook. Section II-8.1.1.)).

## **VI. PROMOTION**

Promotions in rank are initiated by a written recommendation from the department chair to the dean of the School of Medicine and Health Sciences. 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 are then forwarded to the President. In accordance with State Board Policy 305.1.3.d, the President will approve or disapprove the recommendation (Faculty Handbook. Section II-5.2).

Promotions are regarded as recognition and reward for academic attainment in three areas: teaching, scholarly and/or creative activity and distinctive contributions 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 1) outstanding accomplishment is achieved in at least one of the areas, 2) high accomplishment is achieved in a second area and 3) good accomplishment is achieved in the third area. In general, the Department places high value on teaching and, for those in the educator scholar track, scholarly activity, and for those in the clinician scholar track, patient care. 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 of 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. (See Appendix VI for examples of hallmark guidelines).

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.

## A. Evaluation, Promotion and Tenure Criteria

All individuals and committees evaluating Department of Surgery faculty members for purposes of evaluation, promotion and tenure shall employ the following criteria. Not all faculty members will have duties and responsibilities assigned to them for each of the criteria. Each faculty member must be evaluated relative to his or her position description and percentage of effort.

The evaluation instrument is the faculty portfolio, which documents activities in the following areas, as appropriate:

- Teaching
- Patient Care
- Scholarly and/or creative activity
- Contribution to one's discipline or profession
- Professional and community service.

The portfolio also contains the faculty position description and percentage of effort. Each faculty member being evaluated should submit a portfolio containing information and documentary 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 *CPT must base its recommendations solely upon the information supplied by the department [faculty member], it is imperative that departments [faculty members] supply all necessary data and appropriate documentation. A fact cannot be assumed as known, if not stated.* Evidence of effectiveness for each activity 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.

Most of the department faculty members will be in the Educator Scholar or the Clinician Scholar title in the Academic Title Series or will be in the Community Title Series. The department's general criteria for documentation and evaluation in the areas of teaching, patient care, scholarly and creative activity, and service for the Educator Scholar, Basic Scientist Scholar, Clinician Scholar, and Research Faculty are listed below. The various Title Series have different emphases in each of the areas. For examples of activities and documenting in each area specific to each title, see the SMHS Guidelines, Section VI. A., promotion criteria.

## B. Basic Scientist Scholar and Educator Scholar Promotion Criteria

### Teaching

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 colleagues and/or some indication that teaching contributions have been incorporated into the curriculum or design of the curriculum.

Effective teaching requires mastery of the subject with organizational and communication skills necessary to share this knowledge with students in a manner that facilitates their 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.

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.
- Conduct faculty development presentations, workshops, or grand rounds regarding education (e.g., conduct workshops for colleagues on patient-centered learning, clinical teaching, test item writing)
- Curriculum development and/or course design
- Curriculum delivery
  - Lectures, Grand Rounds
  - Laboratory experiences
  - Seminars
  - Group Facilitating
  - Clinical or Fieldwork experiences
  - Demonstration of skills, techniques, etc.
  - Tutorials
- Discussion leadership
- Participation in Residency or Training Programs
- Outpatient and/or inpatient bedside teaching

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

- Student evaluations
  - Student evaluations (summary or composite)
  - Letters from students
- Peer assessments regarding:
  - Quality and appropriateness of 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 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

### **Scholarly and Creative Activity**

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 be centered on educational innovation and curriculum development, educational evaluation and research, and/or on professional development and faculty advancement in education. Scholarly and creative activity in the Basic Scientist Scholar title should be centered on the specific area of research pursuits.

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

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, 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/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-referred) 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, 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.

The following are **examples** of basic scientist scholarly and creative activity:

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

### **Professional and Community Service**

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

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

Professional Services

- Membership in professional societies and/or offices held
- Membership in study sections or ad hoc grant reviews
- Membership on editorial boards
- Review of professional journal manuscripts or book chapters
- Service on accreditation committees
- Consultant work not listed elsewhere (industry, education, or government)

Student services

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

Faculty services

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

Administrative service

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

Community service

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

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

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

**Criteria for Promotion Educator Scholar**

	<b>ASSISTANT PROFESSOR</b>	<b>ASSOCIATE PROFESSOR</b>	<b>PROFESSOR</b>
<b>TEACHING</b>	For promotion to ASSISTANT PROFESSOR, the faculty member must have evidence of expertise, effort, productivity, and excellence in teaching.	For promotion to ASSOCIATE PROFESSOR, the faculty member must have made a substantial contribution to the teaching mission of the School. The faculty member must have a demonstrated record of excellence in teaching and other educational contributions.	For promotion to PROFESSOR, the faculty member must have made a sustained and substantial contribution to the teaching mission of the School. The faculty member must have a demonstrated record of excellence, of regional/national significance, in teaching and other educational contributions.
<b>RESEARCH/SCHOLARLY ACTIVITY</b>	For promotion to ASSISTANT PROFESSOR, the faculty member must demonstrate potential for success in educational research and curriculum development/program design. The faculty member should have some evidence of activity in research and scholarly activity according to their position description and percentage of effort.	For promotion to ASSOCIATE PROFESSOR, the faculty member must demonstrate a record of excellence in educational research, scholarly activity and have demonstrated grant writing activities in seeking extramural funding, where applicable. The faculty member should have significant activity in research and scholarly activity, including publications in peer reviewed or accepted journals and textbooks, according to their position description and percentage of effort.	For promotion to PROFESSOR, the faculty member must demonstrate the activities described for Associate Professor and demonstrate sustained/regular/recurrent and substantial success in the activity of research and scholarly activity according to their position description and percentage of effort.
<b>SERVICE</b>	For promotion to ASSISTANT PROFESSOR, the faculty member must provide evidence of departmental service and demonstrate potential for service at the level of the School and/or University.	For promotion to ASSOCIATE PROFESSOR, the faculty member must demonstrate active and substantial participation in service activities for the Department, the School, and the University of North Dakota and to other areas listed in the guidelines under service.	For promotion to PROFESSOR, the faculty member must have made substantial contributions to service at all university levels, demonstrated excellence in service as required for the Associate Professor, and provide documented evidence of recognition for service in other areas listed in the guidelines under service.

**Criteria for Promotion Basic Scientist Scholar**

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

### C. Clinician Scholar Promotion Criteria

The Clinician Scholar track recognizes faculty with an important commitment to active participation in the development, delivery, and oversight of the health sciences curricula, patient care, as well as sharing his/her clinical practice and/or expertise for the purpose of pre- and postdoctoral training.

#### **Patient Care**

Effective patient care is essential for promotion in this series.

The following are **examples** of patient care:

- Direct outpatient and/or inpatient care
- Indirect patient care (e.g., precepting and/or consulting that is specifically directed towards an individual patient)
- Patient education

The following are **examples** of documenting patient care:

- Description of patient care duties
- Patient education programs presented

The following are **examples** of documentation of patient care:

- Maintenance of professional licensure
- Clinical competence. Information from peer review groups, quality assurance reports, hospitals, clinics, health insurers, etc.
- Clinical practice that is up-to-date (use of innovative approaches and state-of-the-art practice in diagnosis, procedures, therapeutics or systems of patient care consistent with evidence-based outcomes studies)
- Adherence to accepted “standards of care”.
- Attendance at continuing education conferences and/or presenting at conferences.
- Clinical training obtained to maintain and/or increase scope of practice
- Certification in clinical specialty area or equivalent
- Recognition by peers as an outstanding clinician (e.g., awards, regional referrals)
- Evaluation by peers as providing excellent direct and/or indirect patient care.
- Patient numbers and productivity comparisons (local, regional, national)
- Patient surveys evaluating care, professionalism and satisfaction
- Evaluations by peers of the quality of precepting and/or consulting
- Highly sought after for clinical services

## Teaching

Effective teaching in formal classroom and clinical settings is an essential criterion for promotion. Evidence for effective and/or creative teaching must be well documented.

The following are **examples** of teaching:

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

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

- Student evaluations
  - Student evaluations (summary or composite)
  - Letters from students
- Peer assessments regarding:
  - Quality and appropriateness of material presented
  - Degree of preparation, structure and balance within a presentation
  - Availability and guidance during rotation or training program
  - Acceptance and encouragement of differing student opinions in discussion
  - Development of instructional aids and class projects
  - Maintenance of high academic standards by students
  - Contributions to interdisciplinary instructional programs
  - Collaborative work with other faculty members
- Presentations in 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 program changes, video productions, computer software usage
- Innovative teaching techniques
- List of graduate students, professional health students, undergraduate students, advisees, and/or research assistants who were mentored
- List workshops, presentations, grand rounds, that were presented or coordinated within or outside the University

### **Scholarly and Creative Activity**

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

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

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

- Case authorship - Authorship or major contribution to development of case(s) in a course, clerkship, or residency, e.g. PCL case author or substantial contribution to PCL case(s), Computer case(s), and/or Clinical exercises
- Design and development of new blocks/courses/clerkships/programs or substantial modification (major revision) of existing blocks/courses/clerkships/programs
- Publication of research, clinical observations, reviews, or case reports in journals, textbooks, or other publications
- Development of teaching materials including curriculum materials, educational programs, textbooks, manuals, computer programs, or audiovisual resources
- Teach or provide leadership in continuing education
- Dissemination of clinical knowledge, techniques and technologies by presenting at local, regional, national or international conferences. Examples include research, critical reviews of the literature, clinical observations or case reports.
- Clinical and/or basic research published in peer-reviewed publications
- Journal/book editor or reviewer
- Membership on editorial boards
- Grant and contract writing
- 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 research and scholarly activities.

- List publications (refereed, non-referred) and in the case of multiple authors list amount of involvement (e.g., lead author, collaborating author)
- List presentations of original research, critical reviews of the literature, clinical observations or case reports. Include topic, audience and/or organization sponsoring the presentation, and assessment of the presentations.
- Evidence of developing or revising teaching materials effectively.
- List presentations at workshops, grand rounds, conferences, etc. Provide evaluations of presentations
- 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 editorship and publication reviewer activity
- List editorial board membership
- List grant reviewing activity. Provide assessment of the caliber of the faculty member's reviews from granting organizations, if available.
- Provide evidence of significant improvements in a block/course/clerkship/program
- Evaluations from block/course/clerkship program directors or coordinators
- Consulting activity examples and/or evaluation from sponsor organization

### **Professional and Community Service**

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

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

#### Professional Services

- Membership in professional societies and/or offices held
- Membership in study sections or ad hoc grant reviews
- Case reviews
- Membership on editorial boards
- Review of professional journal manuscripts or book chapters
- Service on accreditation committees
- Consultant work not listed elsewhere (industry, education, or government)

#### Student services

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

#### Faculty services

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

Administrative service

- Departmental committees
- School of Medicine & Health Sciences committees
- University committees
- State, national, and international committees
- Administrative offices
- Hospital committees
- Course/block/clerkship coordinator/director Community service
- Presentations to service clubs, schools, church groups, etc.
- Patient and/or community education
- Professional assistance to committees, agencies, or institutions

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

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

**Criteria for Promotion Clinician Scholar**

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

## D. Community Faculty Promotion Criteria

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

### Patient Care

Effective patient care is essential for promotion in this series. (See Appendix VII)

### Teaching

Effective teaching in formal classroom and clinical settings is an essential criterion for promotion. Evidence for effective and/or creative teaching must be well documented.

The following are **examples** of teaching:

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

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

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

Documentation of teaching activity should include the following if applicable.

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

### **Scholarly and Creative Activity**

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

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

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

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

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

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

### **Professional and Community Service**

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

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

#### Professional Services

- Membership in professional societies and/or offices held
- Membership in study sections or ad hoc grant reviews
- Case reviews
- Membership on editorial boards
- Review of professional journal manuscripts or book chapters
- Service on accreditation committees
- Consultant work not listed elsewhere (industry, education, or government)

#### Student services

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

#### Faculty services

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

#### Administrative service

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

#### Community service

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

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

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

**Criteria for Promotion Community Faculty**

<b>ASSISTANT PROFESSOR</b>	<b>ASSOCIATE PROFESSOR</b>	<b>PROFESSOR</b>
For promotion to CLINICAL ASSISTANT PROFESSOR, the faculty member shall have the appropriate terminal or professional degree and at least three subsequent years of relevant professional experience or training. Normally, board certification is required.	For promotion to CLINICAL ASSOCIATE PROFESSOR, the faculty member shall document excellence in Patient Care and an increase in the level of ability in at least two of the following areas: teaching, scholarship or other professional achievements or service to the department, the School, or the profession.	For promotion to CLINICAL PROFESSOR, the faculty member shall document excellence in patient care and excellence in at least one of the following additional areas: teaching, scholarship, other professional achievements or service to the department, the School, or the profession.

**E. Research Faculty Promotion Criteria**

**Research Rank**

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

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

The following are examples of acceptable scholarly activity:

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



**Criteria for Promotion Research Faculty**

	<b>ASSISTANT PROFESSOR</b>	<b>ASSOCIATE PROFESSOR</b>	<b>PROFESSOR</b>
<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 in peer reviewed journals.	For appointment/promotion to RESEARCH PROFESSOR, the faculty member must have achieved recognition for scholarly activities, including independent extramural funding, continued publication of high quality manuscripts in peer reviewed journals, and evidence of continued research productivity.

**F. Procedure for Promotion**

The faculty member desiring the promotion, the department committee, or the department chair can initiate a request for promotion. If the recommendation of the department chair is negative, the faculty member must be informed in writing by the department chair of the basis for the recommendation.

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

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

**G. Timeline for Promotion**

All required documentation should be submitted to the department chair's office by September 15, and to the Office of Academic Affairs on or before November 15.

### H. Documentation

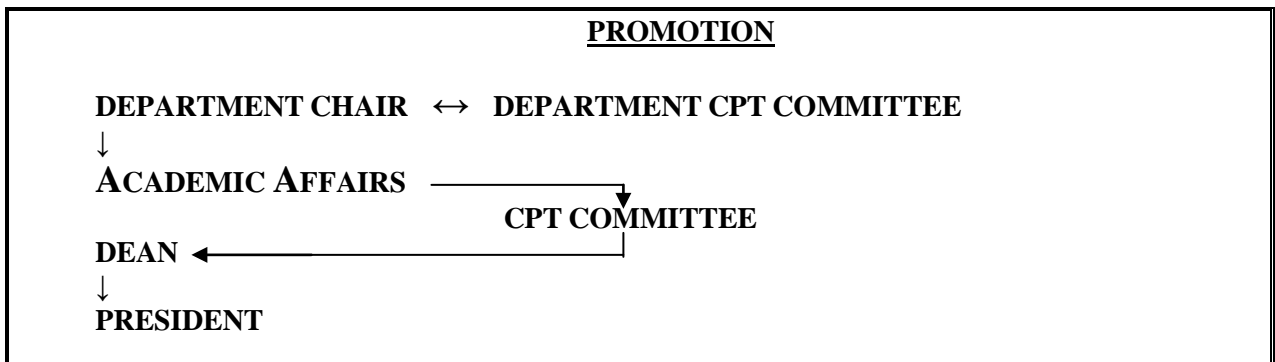
Documentation for promotion shall include, in addition to the materials for evaluation described above (Section V, D), the following:

- The forms contained in Appendix I and III
- Letters of recommendation
  1. Letters of recommendation from the department chair and the departmental committee.
  2. Letters from chairs of committees on which the candidate has served.
  3. For promotion to the rank of associate professor or professor at least three outside letters of recommendation solicited by the department chair from recognized peers outside the University of North Dakota must be included in the initial review by the departmental committee and chair. The candidate will submit a list of names to the department chair.

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

### I. Routing for Approval

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



### J. Recommending Authorities and Advisory Groups

#### RECOMMENDING AUTHORITIES

Promotions are normally made by the President upon recommendation by the department chair and the dean of the School of Medicine and Health Sciences.

All recommendations from the department chair and the dean must be in writing, and each must include a statement supporting the recommendation. Both the recommendation and the statement must be made part of the promotion file. After each recommendation is made, the candidate for promotion must be informed of said recommendation and must be given access to the promotion

file in order to review the recommendation and respond, if desired, in the form of a written statement, to any material in his or her promotion file. (Faculty Handbook. Section II-5.3.B.1.)

### **GROUPS AND PERSONS ADVISORY TO THE RECOMMENDING AUTHORITIES**

The department chair must seek the advice of the department promotion and tenure committee. The Dean must seek the advice of the SMHS Committee on Promotion and Tenure. Advisory groups must be composed of faculty. All advisory groups must record votes for and against promotion, and the record of the votes must be made a part of the promotion file. All written advice must be part of the promotion file. (Faculty Handbook. Section II-5.3.B.2)

### **K. Appeal**

Outlined in Faculty Handbook, Section II-5.3.C.

## **VII. TENURE**

The same review process for evaluation and promotion is applied for tenure reviews. The faculty member being reviewed for promotion and tenure in the same academic year may submit the same supporting materials for both processes.

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

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

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

## **Recommending Authorities and Advisory Groups**

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

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

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

### **B. Procedures for Tenure Evaluation**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

A tenure-eligible faculty member cannot be recommended for tenure unless the department/college will have available permanent funding for that person from appropriated funding at the time tenure is to become effective. A department/college cannot shift either a tenured or tenure-eligible faculty member onto non-appropriated money unless there is a recognized plan enabling reassignment of him/her to appropriated funding at the time non-appropriated funds are unavailable or he/she becomes eligible for tenure through years of services to the University. (Section II-8.2.K.)

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

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

### **C. Procedures for Tenure Review**

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

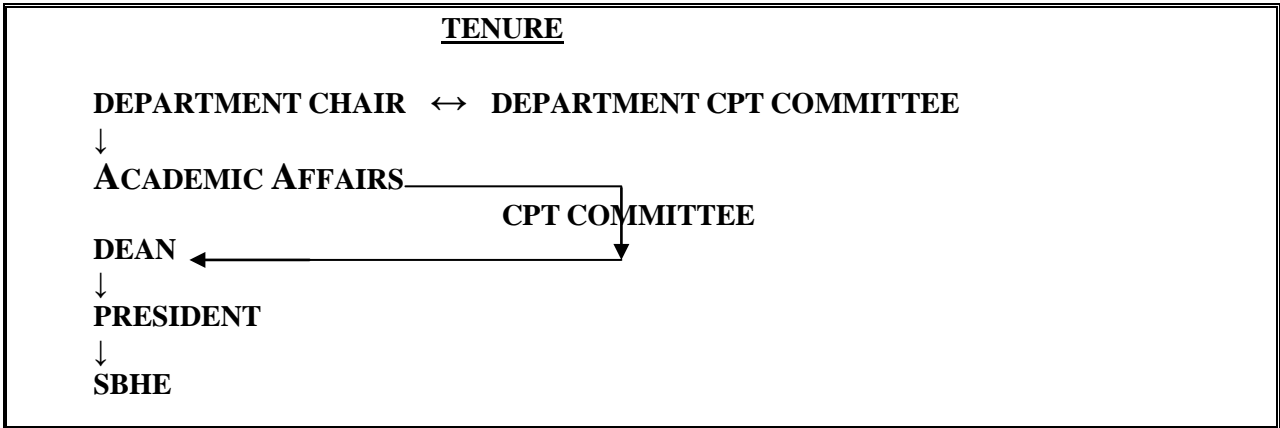
- The documentation requested for promotion decisions

- All prior evaluations of the faculty conducted by the department

- A completed form that records votes for the components involved in the decision (Appendix II)

**D. Routing for Approval**

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



**E. Appeal**

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

**F. Appointments with Tenure**

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

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

**Appendix I**



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

\_\_\_\_\_  
Date of Submission

\_\_\_\_\_  
Name of Faculty Member

\_\_\_\_\_  
Current Academic Rank

\_\_\_\_\_  
Highest Degree

\_\_\_\_\_  
Years at UND

\_\_\_\_\_  
Years in Current Rank

\_\_\_\_\_  
UND

\_\_\_\_\_  
Other University

**Action of the Committee on Promotions in the Department of** \_\_\_\_\_

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

\_\_\_\_\_  
Recommends

\_\_\_\_\_  
Does not recommend (attach comments)

\_\_\_\_\_  
Votes for

\_\_\_\_\_  
Votes against

\_\_\_\_\_  
Signature of Committee Chair

**Action of the Department or Program Chair**

\_\_\_\_\_  
Concurs with the recommendation

\_\_\_\_\_  
Does not concur with the recommendation (attach comments)

\_\_\_\_\_  
Signature of Chair

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

\_\_\_\_\_  
Concurs with the recommendation

\_\_\_\_\_  
Does not concur with the recommendation  
(attach comments)

\_\_\_\_\_  
Votes for

\_\_\_\_\_  
Votes against

\_\_\_\_\_  
Signature of Committee Chair

**Action of the Dean**

\_\_\_\_\_  
Concurs with the recommendation

\_\_\_\_\_  
Does not concur with the recommendation (attach comments)

\_\_\_\_\_  
Signature of Dean



**Appendix II**



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

\_\_\_\_\_  
Date of Submission

\_\_\_\_\_  
Name of Faculty Member

\_\_\_\_\_  
Current Academic Rank

\_\_\_\_\_  
Highest Degree

\_\_\_\_\_  
Years at UND

\_\_\_\_\_  
Years in Current Rank

\_\_\_\_\_  
UND

\_\_\_\_\_  
Other University

**Action of the Committee on Tenure in the Department of** \_\_\_\_\_

As to recommendation for tenure:

\_\_\_\_\_  
\_\_\_\_\_  
Recommends  
Does not recommend (attach comments)

\_\_\_\_\_  
\_\_\_\_\_  
Votes for  
Votes against

\_\_\_\_\_  
Signature of Committee Chair

**Action of the Department or Program Chair**

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

\_\_\_\_\_  
Signature of Chair

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

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

\_\_\_\_\_  
\_\_\_\_\_  
Votes for  
Votes against

\_\_\_\_\_  
Signature of Chair

**Action of the Dean**

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

\_\_\_\_\_  
Signature of Dean

**Appendix III**



**EVALUATION FORM**

**I. Information on Candidate at Time of Employment:**

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

**II. Changes Subsequent to Employment:**

A. Degrees completed:

University	Degree	Date Conferred
------------	--------	----------------

B. Promotions Previously Granted:

1. Date \_\_\_\_\_ From (rank) \_\_\_\_\_ to \_\_\_\_\_

2. Date \_\_\_\_\_ From (rank) \_\_\_\_\_ to \_\_\_\_\_

3. Number of calendar months from last promotion \_\_\_\_\_

C. Attach copy of Standard Curriculum Vitae.

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

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

- IV. **Scholarly Activity** See VI. A. CPT Guidelines and your departmental guidelines for examples of activities and documentation.
  
- V. **Professional and Community Service.** See VI. A. CPT Guidelines and your departmental guidelines for examples of activities and documentation.



## APPENDIX IV

([http://www.und.edu/dept/oid/evaluation\\_policy.htm](http://www.und.edu/dept/oid/evaluation_policy.htm))

### **Resources for Teaching Evaluation**

---

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.

#### **1. 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.

#### **2. 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.

### **3. 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.

### **4. 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 [USAT](#) 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. )

## 5. Use of Student Feedback

NDUS policy states that "evaluations of all teaching faculty must include significant student input" (Section: 605.1.6 - 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 USAT 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 V

### 1. **Adapted from** A Guide to Preparing your Portfolio Mary Ann Laxen, PA-C, MAB

#### 2. Purposes

Promotion and tenure

Evaluations

Employment

#### 3. Portfolio Design

Have front template with:

- Name
- Rank
- Reason for submission:
- Evaluation
- Promotion to: \_\_\_\_\_
- Date

Each section should be tabulated

First 4 sections are the same for all:

- Section I
- Forms from Appendix of Guidelines on Promotion and Tenure
- Section II
- CV
- Section III
- Percent of effort forms
- Section IV
- Job Description

#### Section I: Promotion and Tenure Forms

Recommendation for Promotion in Academic Rank (Appendix I)

- Include this form only if actually seeking a Promotion

Evaluation Form (Appendix III)

- Always include this form

#### Section II: CV

CV's should include the following:

- Personal Information
- Education
- Boards and Certifications
- Work experience
- Hospital Affiliations – Medical Staff Appointments
- Awards



- Appointments
- Publications
- Planning and Teaching Activities
- Presentations
- Activities and Associations

Recommend using a standard/recognized format

Examples

#### Section III: Percent of Effort Forms

Include copies of forms from EACH YEAR since you last submitted a Portfolio.

If a significant change in job description, also include Percent of Effort Form from the previous year(s)

#### Section IV: Job Description

Job Description at time of hire (if available!)

Present Job Description

### 4. Portfolio Design: Clinician Scholar

Section V: Patient Care

Section VI: Teaching

Section VII: Research/Scholarly Activity

Section VIII: Service

### 5. Portfolio Design: Educator Scholar

Section V: Teaching

Section VI: Research/Scholarly Activity

Section VII: Service

### 6. Portfolio Contents: Patient Care

For part-time UND faculty and community faculty a letter from the clinic/hospital employer should be included in the portfolio addressing these areas. See Appendix VII. Letter is only needed when promotion is considered, not for annual review.

### 7. Portfolio Contents: Teaching

Examples of documentation:

- List courses and lecture hours taught
- Numbers and level of students taught/ advised/mentored
- Weekly average of contact hours with students/residents
- Presentations outside program/department/university

Examples of documentation:

- Examples of curriculum/course changes
- Course content
- Computer software usage
- On-line teaching
- Instructional aides
- Publication of Books, Chapters

- Collaborative work with other faculty members
- Interdisciplinary work

Examples of documentation:

- Evaluations
- Students
- Peers
- Supervisors

Note: Summary/composite evaluations are recommended whenever possible

#### 8. Portfolio Contents: Research and Scholarly Activity

Examples of documentation:

- List publications and, if multiple authors, level of involvement
- List presentations on original research, critical reviews of the literature, case reports
- Grants and contracts involvement
- Grant reviewing activity
- Editorial board membership

Examples of documentation:

- Major revisions in courses/blocks/methods of instruction
- Development of new teaching materials
- Accreditation of programs/residencies

#### 9. Portfolio Contents: Professional and Community Service

Examples of documentation:

- List and describe committee membership
- Committee Accomplishments
- Awards received
- Membership in professional societies and/or offices held
- Academic advising/advising student organizations
- Recruitment/screening of applicants



## Appendix VI

## EDUCATOR SCHOLAR TRACK

<b>TEACHING</b>			
	<b>GOOD</b>	<b>HIGH</b>	<b>OUTSTANDING</b>
<b>HOURS/COURSES</b>	Contributes to teaching mission of UND, SMHS, department and/or program	Contributes significantly to teaching mission of UND, SMHS, department and/or program	Makes a major contribution to teaching mission of UND, SMHS, department and/or program
<b>LEVEL/METHODOLOGY</b>	Teaches at one level and by one method	Teaches at multiple levels or by multiple methods	Teaches at multiple levels and by multiple methods
<b>EVALUATION</b>	Good learner/peer evaluations	Very good learner/peer evaluations	Excellent learner/peer evaluations
<b>INNOVATION</b>	Makes some additions/improvements to curriculum	Develops new curriculum	Shows leadership in developing new curricular areas
<b>MENTORING/ADVISING</b>		Advisor for 1-3 students in thesis/scholarly projects, professional development	Advises multiple students in thesis/scholarly projects  Mentor for new faculty in educational methodology.
<b>PROFESSIONAL DEVELOPMENT</b>	Maintains educational knowledge and skills	Applies new knowledge and skills to educational activities	Shares new knowledge and skills
<b>RESEARCH/SCHOLARLY ACTIVITY</b>			
	<b>GOOD</b>	<b>HIGH</b>	<b>OUTSTANDING</b>
<b>INNOVATION</b>	Creates new learning materials (for example create a new PCL case).		Creates new courses/clerkships/programs
<b>PUBLICATIONS</b>	Newsletters, state and local publications	Authors/co-authors non peer reviewed articles	Authors/co-authors peer reviewed journals, articles, book chapters
<b>PRESENTATIONS</b>	Presents at local meetings	Presents at state and regional meetings	Presents at national/international meetings

<b>SERVICE</b>			
	<b>GOOD</b>	<b>HIGH</b>	<b>OUTSTANDING</b>
<b>PUBLICATION REVIEWER/EDITOR</b>		Reviews manuscripts for publication	Edits professional journals
<b>GRANTS</b>	Contributes to grant proposal development	Periodically serves on extramural grant and/or program review/accreditation panels  Submits grant proposals	Serves frequently on extramural grant and/or program review/accreditation panels  Grants approved/funded
<b>DEPARTMENT/SCHOOL</b>	Serves on department and school committees	Participates/makes a significant contribution on department and school committees	Takes leadership role on department and school committees
<b>UNIVERSITY</b>	Serves on university committees	Participates/makes a significant contribution on university committees	Takes leadership role on university committees
<b>PROFESSIONAL</b>	Member of professional societies	Active in professional societies	Leads professional societies
<b>HEALTH RELATED COMMUNITY EDUCATION ACTIVITY</b>	Serves on health related community education committees	Actively participates in health related community education committees	Leads health related community educations committees

## **BASIC SCIENTIST SCHOLAR TRACK**

<b>TEACHING</b>		
<b>GOOD</b>	<b>HIGH</b>	<b>OUTSTANDING</b>
<p>Significant contributions to the Department's formal teaching mission</p> <p>Good student evaluations</p> <p>Evidence of good quality of teaching through student performance on examinations</p> <p>Counseling of students into career paths related to the profession</p>	<p>Significant contributions to the Department's formal teaching mission</p> <p>Involvement in curriculum design, development, and implementation</p> <p>Excellent student evaluations</p> <p>Evidence of excellent quality of teaching through student performance on examinations</p> <p>Active counseling of students into career paths related to the profession</p>	<p>Major contributions to the Department's formal teaching mission</p> <p>Demonstrated skills in course administration</p> <p>Leadership in curriculum design, development and implementation</p> <p>Outstanding student evaluations</p> <p>Formal recognition of teaching excellence through local/national awards</p> <p>Evidence of outstanding quality of teaching through student performance on examinations</p> <p>Successful placement of students into career paths related to the profession</p>

## RESEARCH/SCHOLARLY ACTIVITY

<p>Active research program</p> <p>Average publication rate of about 0.5 significant peer-reviewed articles per year</p> <p>Average rate of principal authorship or major contributor to 1 new clinical case per year</p> <p>Evidence of intramural support for research program</p> <p>Attendance at national/international meetings</p> <p>Successful mentoring of graduate students</p> <p>Recognition of research by leaders in the field</p> <p>Active seeking of extramural funds</p>	<p>Active independent research program</p> <p>Average publication rate of about one significant peer-reviewed article a year</p> <p>Average rate of principal authorship or major contributor to two new clinical cases per year</p> <p>Citation of publications by others in the field</p> <p>Significant funding</p> <p>Presentations at national/international meetings</p> <p>Successful mentoring of graduate students</p> <p>Recognition of the research significance by leaders in the field</p> <p>Active seeking of extramural funds</p>	<p>Vigorous, productive, independent research program</p> <p>Average publication rate of more than one significant peer-reviewed article a year</p> <p>Average rate of principal authorship or major contributor to &gt;2 new clinical cases per year</p> <p>Citation of publications by others in the field</p> <p>Sustained, significant extramural funding</p> <p>Invited presentations at national/international meetings</p> <p>Successful mentoring of graduate students</p> <p>Recognition of the research significance by leaders in the field</p> <p>Invited reviews/book chapters</p>
--	---	---

## SERVICE

<p>Active participation in the service missions of the department, school and university</p> <p>Membership in professional organizations</p>	<p>Active participation in the service missions of the department, school and university</p> <p>Service on grant and/or program review panels</p> <p>Reviewing of manuscripts for publication</p> <p>Active involvement in professional organizations</p> <p>Contributes to the professional development of others</p>	<p>Leadership in the service missions of the department, school and university</p> <p>Service on extramural grant and/or program review panels</p> <p>Regular reviewing of manuscripts of publication</p> <p>Leadership in professional organizations</p> <p>Significant advancement of the professional development of others through mentoring</p>
--	--	--

## CLINICIAN SCHOLAR TRACK

<b>PATIENT CARE</b>			
Letter from administration of health organization employer addressing good, high, and outstanding benchmarks – see Appendix VII.			
<b>TEACHING</b>			
	<b>GOOD</b>	<b>HIGH</b>	<b>OUTSTANDING</b>
<b>HOURS/COURSES</b>	Contributes to teaching mission of UND, SMHS, department and/or program	Contributes significantly to teaching mission of UND, SMHS, department and/or program	Makes a major contribution to teaching mission of UND, SMHS, department and/or program
<b>LEVEL/METHODOLOGY</b>	Teaches at one level and by one method	Teaches at multiple levels or by multiple methods	Teaches at multiple levels and by multiple methods
<b>EVALUATION</b>	Good learner/peer evaluations	Very good learner/peer evaluations	Excellent learner/peer evaluations
<b>INNOVATION</b>	Makes some additions/improvements to curriculum	Develops new curriculum	Shows leadership in developing new curricular areas
<b>MENTORING/ADVISING</b>	Relates clinical practice to teaching	Advisor for 1-3 students in thesis/scholarly projects, professional development	High quality practice informs and enhances teaching  Advises multiple students in thesis/scholarly projects  Mentor for new faculty in educational methodology.
<b>PROFESSIONAL DEVELOPMENT</b>	Maintains educational knowledge and skills	Applies new knowledge and skills to educational activities	Shares new knowledge and skills
<b>RESEARCH/SCHOLARLY ACTIVITY</b>			
	<b>GOOD</b>	<b>HIGH</b>	<b>OUTSTANDING</b>
<b>INNOVATION</b>	Creates new learning materials (for example create a new PCL case).		Creates new courses/clerkships/programs
<b>PUBLICATIONS</b>	Newsletters, state and local publications	Authors/co-authors non peer reviewed articles	Authors/co-authors peer reviewed journals, articles, book chapters
<b>PRESENTATIONS</b>	Presents at local meetings	Presents at state and regional meetings	Presents at national/international meetings

<b>SERVICE</b>			
	<b>GOOD</b>	<b>HIGH</b>	<b>OUTSTANDING</b>
<b>PUBLICATION REVIEWER/EDITOR</b>		Reviews manuscripts for publication	Edits professional journals
<b>GRANTS</b>	Contributes to grant proposal development	Submits grant proposals  Periodically serves on extramural grant and/or program review/accreditation panels	Grants approved/funded  Serves frequently on extramural grant and/or program review/accreditation panels
<b>DEPARTMENT/SCHOOL</b>	Serves on department and school committees	Participates/makes a significant contribution on department and school committees	Takes leadership role on department and school committees
<b>UNIVERSITY</b>	Serves on university committees	Participates/makes a significant contribution on university committees	Takes leadership role on university committees
<b>PROFESSIONAL</b>	Member of professional societies	Active in professional societies	Leads professional societies
<b>HEALTH RELATED COMMUNITY EDUCATION ACTIVITY</b>	Serves on health related community education committees	Actively participates in health related community education committees	Leads health related community education committees

## **COMMUNITY FACULTY TRACK**

<b>PATIENT CARE</b>			
Letter from administration of health organization employer addressing good, high, and outstanding benchmarks – see Appendix VII.			
<b>TEACHING</b>			
	<b>GOOD</b>	<b>HIGH</b>	<b>OUTSTANDING</b>
<b>HOURS/COURSES</b>	Contributes to teaching mission of UND, SMHS, department and/or program	Contributes significantly to teaching mission of UND, SMHS, department and/or program	Makes a major contribution to teaching mission of UND, SMHS, department and/or program
<b>EVALUATION</b>	Good learner/peer evaluations	Very good learner/peer evaluations	Excellent learner/peer evaluations
<b>INNOVATION</b>	Makes some additions/improvements to curriculum	Develops new curriculum	Shows leadership in developing new curricular areas
<b>PROFESSIONAL DEVELOPMENT</b>	Maintains educational knowledge and skills	Applies new knowledge and skills to educational activities	Shares new knowledge and skills

<b>RESEARCH/SCHOLARLY ACTIVITY</b>			
	<b>GOOD</b>	<b>HIGH</b>	<b>OUTSTANDING</b>
<b>PRESENTATIONS</b>	Presents to parent and health science groups locally	Grand Rounds or Journal Club	Presents at state and requested meetings
<b>SERVICE</b>			
	<b>GOOD</b>	<b>HIGH</b>	<b>OUTSTANDING</b>
<b>PUBLICATION REVIEWER/EDITOR</b>		Reviews manuscripts for publication	Edits professional journals
<b>DEPARTMENT/SCHOOL</b>	Serves on department and school committees	Participates/makes a significant contribution on department and school committees	Takes leadership role on department and school committees





## Appendix VII

To employer/administration:

I am requesting academic promotion to (clinical rank) as a member of the Surgery Department at UND School of Medicine & Health Sciences. This promotion requires documentation of quality patient care. Please send a letter to Robert P. Sticca, M.D.; Chair, Department of Surgery; UND School of Medicine & Health Sciences; 501 N Columbia Road Stop 9037, Grand Forks, ND 58203 using the enclosed evaluation form as a guideline. The medical school needs to know if the level of patient care I deliver, my professional development and clinical department participation are considered good, high or excellent.

Thank you for your time in completing this letter for my promotion.

Sincerely,

### Employer Evaluation Form of Clinical Competence of Medical School Faculty

(Circle most applicable response)

	<b>Good</b>	<b>High</b>	<b>Outstanding</b>
Quality	Participates in QA measures	Meets QA standards	Exceeds QA standards
Patient Satisfaction	No significant complaints	Growing practice	Busy practice with many positive patient compliments
Peer Evaluation	Cooperates as health team participant	Sought out for advice by colleagues	Many referrals from colleagues
Patient Surveys (if applicable)	+	++	+++
Educational Presentations	Meets requirements for CME	Applies new knowledge to practice	Shares clinical knowledge and skills
Educational Presentations	To health science workers or parent groups	Grand Rounds and Journal Club participant	Invited speaker at state, regional or national meetings
Professionalism, Dress, Respectfulness, Timeliness, Reliability	Generally	Consistently	Without fail
Clinic Department Service	Serves when asked usually	Valuable committee participant	Department/section or committee leader
Review Comments:			

Evaluator: \_\_\_\_\_ Date: \_\_\_\_\_