

CRITERIA FOR TRACK IV APPOINTMENT AND PROMOTION
Department of Community and Family Medicine
Duke University Medical Center
Approved 5/9/07

Note: The criteria outlined below are to be considered minimal criteria and general guidelines, and do not guarantee appointment or promotion.

There are two potential entry-level ranks for individuals suitable for Track IV: Clinical Associate and Medical Instructor. These ranks do not fall within any of the tracks, but are preliminary to any. Candidates usually (but not always) hold a doctoral degree. The selection of a rank for a new faculty member will be made by the Division Chief and Department Chairman, in conjunction with the candidate.

Clinical Associate

Clinical Associate is a non-regular rank and need not have an “obvious instructional component” included in the appointee’s professional activities. It is the appropriate rank for fellows who hold faculty appointments, and others who are expected to have a short-term appointment. This rank is a potential entry level rank for individuals who may later be appointed to Track IV. Candidates exhibit promise for achievement in clinical skills, research contributions, teaching, and/or scholarship. The University will not extend Associate rank appointments for more than 11 years, except in unusual circumstances which are to the advantage of the Associate.

Medical Instructor

Medical Instructor is a regular rank. This is the entry level rank for individuals judged likely to advance their careers on a tenure track, but is also appropriate for new faculty expected to remain at Duke and be appointed to Track IV. This rank is designed for faculty who exhibit significant promise for achievement in clinical skills, research contributions, teaching, and scholarship.

Requirements for these two ranks are the same.

Certification

- For physicians: Board certified or eligible. Exceptions can be made when justified by documentation of exemplary practice experience or academic experience, or by documentation of quality continuing medical education since completion of training program.
- For non-physicians: Standards within the appointee’s professional discipline which are equivalent to those listed above for physicians.

Letters of Recommendation

- One letter of recommendation from training program director, department chair or hospital department chair, and three letters of recommendation from clinical or academic colleagues. Letters for physicians or non-physicians who provide health care must

address clinical decision making, interactions with patients, peers and staff, timeliness of medical records, and clinical productivity. Letters for non-clinicians must address teaching and research skills, academic experience, and scholarly productivity.

GENERAL CONSIDERATIONS FOR APPOINTMENTS ON TRACK IV (Assistant Professor, Associate Professor, Professor)

Track IV, the Clinician-Teacher track, includes faculty who are primarily engaged in clinical service. Appointments to Track IV are designed for those pursuing careers in clinical care, teaching, mentoring, clinical scholarship, and service. Occasionally, faculty with less effort in clinical care will be appropriate for Track IV. For example, faculty may be appointed for specialized teaching and service responsibilities that are unlikely to result in grant funding or publications. For such individuals, promotion should be based on the level of excellence they achieve in their assigned tasks.

When a Track IV candidate is assessed for promotion, the criteria used will emphasize clinical performance metrics. Teaching will be required and evaluated, and research and publication will be encouraged (particularly where it enhances the regional and national reputation of the faculty member as a master clinician). Participation in the academic community (e.g., IRB, IACUC, Admissions Committees) is explicitly valued and should be considered in the promotion process. Track IV appointments are reviewed annually for reappointment, unless a contract for a longer period has been executed. With respect to termination of appointment, advance notice requirements of intent not to renew an appointment provide faculty with short-term financial stability in the University component of compensation, according to standard Duke University guidelines [3 months notice of intent not to renew an appointment for less than 1 year on the Faculty, 6 months for less than 2 years, and 12 months for 2 or more years -- see Faculty Handbook at <http://www.provost.duke.edu/fhb>].

Appointment and promotion on track IV will be judged on the basis of quality of clinical care, teaching and mentoring, leadership, scholarship, longevity of service, and impact of contributions to the Department and Medical Center. The Department of Community and Family Medicine considers achievements to fall into four broad categories: Clinical, Education, Leadership/ Administration, and Scholarship. Promotion requires demonstration of excellence in at least two of these areas. For clinicians, demonstrated excellence in clinical care is required. The terms clinical and patient care are construed broadly, to include prevention directed toward populations, which may include individuals who are not current patients in the traditional sense. For individuals who do not provide direct patient care, evidence of work impacting/improving the health of populations and communities will be valued highly. It is recognized that some individuals in an institution may play unique roles that advance the mission of the institution, and promotion for such individuals may be achieved in this track by fulfilling criteria or achieving levels of productivity established by the Division Chiefs and the Departmental Chair. Such criteria and targets should be conveyed in writing to the faculty member and to the Office of Faculty and Academic Affairs.

The following outline includes performance measures for appointment and promotion criteria for Track IV faculty. **It is recognized that individual faculty will have different areas of productivity and contribution, so that not all criteria in each performance area may be applicable for a given individual.** For Track IV, the traditional requirement of research contributions has been more broadly defined as scholarly contributions; examples are included below. More comprehensive examples may be found in Beattie DS. Expanding the View of Scholarship. Academic Medicine 2000; 75(9): 871-6.

The Department of Community and Family Medicine has established a format for the academic portfolio to be used in the promotion and tenure process. The promotion dossier should be submitted in accordance with that format, which is outlined separately.

The following are general criteria for consideration in the promotion process. These are to be considered guidelines, and do not guarantee appointment or promotion.

Assistant Professor – Track IV Certification

- Appropriate certification (as described under Clinical Associate and Medical Instructor).

Clinical Criteria

- At least two years of experience as a clinician, with documentation of excellence
- Performance of clinical duties with the highest level of professionalism, empathy, and skill.
- Recognition by peers as an outstanding, effective, and efficient physician (local reputation)
- Markers of clinical excellence may include quality metrics, outcome measures, patient volumes, and satisfaction indices.
- Evidence of reputation can be demonstrated by inclusion in guideline setting panels, or by participation in Boards and leadership groups within the faculty member's field
- Contributions to practice guidelines, and lectures at regional meetings are also appropriate milestones
- Continued performance at this level is a requirement for promotion at all ranks

Educational Activities

- Demonstration of excellence in teaching for at least two years. Documentation should include excellent evaluations of teaching skills from learners and peers.
- Effective participation in mandatory Departmental educational activities.

Leadership and Administration

- For internal promotions, service to the Department, institution, and/or community that

- contributes to the greater good of the Medical Center.
- Fostering interdisciplinary approaches to patient care and education.

Scholarship

- Participation in research is encouraged, although success in research will be a relatively less important criterion within this track. This participation could be enrolling patients in clinical trials, participating in clinical trial leadership teams, or collaborative involvement in basic science projects. Good performance in research, in the absence of unambiguous excellence in other areas, will not be sufficient to merit promotion on Track IV.
- Publication is not a requirement for this rank, but is encouraged and will be considered as a secondary measure. Invited reviews of the state of the art in peer reviewed journals are particularly valued within this track. Other publications including chapters and case reports will be considered.
- Faculty contributing data for published studies (on which they are not co-authors) may include such publications in a clearly labeled subsection under Publications in their CV's, if their contributions are formally acknowledged within the publication.

Letters of Recommendation

- Three letters of support, preferably from external evaluators familiar with the candidate's accomplishments and academic potential.

Associate Professor – Track IV

All of the criteria listed for Assistant Professor, plus:

Clinical Criteria

- At least five years of experience as a clinician or academician, with documentation of excellence.
- Service as a role model for students and other faculty.
- An established regional or national reputation for expertise in a field is an important factor. Evidence of a national reputation can come from inclusion in national guideline setting panels, elected or appointed positions in national professional societies and professional boards.
- Development of new clinical treatments, devices, or concepts, as evidenced by original publications, reviews, or books.

Educational Activities

- Demonstration of excellence in teaching for at least five years, including clinical or academic presentations at the local, regional, or national levels. Documentation should include excellent evaluations of teaching skills from learners and peers.
- Participation and leadership in educational activities of the Department, including divisional and general conferences, clinic and inpatient teaching of house staff and medical students. Faculty will be judged on the quality and impact of the material being

taught.

- Special consideration will be given for effective mentoring of students, house staff, fellows, and junior faculty, and for local and national recognition through teaching awards.
- Participation and leadership in continuing medical education programs at regional and national levels. Invitations to speak at education sessions at regional and national meetings of professional societies. Participation and leadership in specialty societies.
- Development of new educational products, programs, tools, devices, or concepts, as evidenced by original publications, reviews, or books.
- Contributing interdisciplinary approaches to education.

Leadership and Administration

- Documentation of excellence in administrative skills through successful leadership of at least one major committee or one academic or clinical program.
- Participation and leadership in regional organizations and committees.
- Participation in Duke University Health System programs.

Scholarship

- Scholarship includes activities that contribute to the development, distribution, or organization of a body of knowledge in the field of medicine. Collecting patient data for clinical trials, writing protocols for trials, or serving as consultant to groups writing or running trials will be considered a significant contribution.
- Participation in research is encouraged. At this rank, for research to be a factor, the faculty member should be participating in research groups as a member of steering committees, protocol teams, or within a leadership role.
- Scholarly writings such as: journal articles, book chapters, clinical reviews, textbooks, case reports, grant applications (funded or not), Internet publications, or practice guidelines.
- Scholarly presentations, such as papers, seminars, and lecture-discussions.
- Other activities that should be included are clinical guideline or protocol work, efforts regarding utilization review, efforts regarding quality assurance/quality initiatives, continuing medical education activities, and efforts to improve clinical operations using management data.
- Participation in scholarship can include original research or publication of original ideas and concepts (including educational research), but such activity is beyond the basic requirements of this rank.
- The faculty member's scholarly activities can be demonstrated by traditional means, such as original peer reviewed publications, case reports, invited reviews, book chapters, and/or important clinical applications of basic science. In addition to traditional journal and book publications, substantive scholarly documents may be considered, such as unpublished theses, internal reports and reviews, white papers and other position papers developed for national organizations, Congress, and the NC State Legislature. Other documents might include mass publications for general distribution, monographs, and

manuals.

Note: The quality of scholarly writings and presentations is more important than the number. Quality will be determined by the Clinical Appointment and Promotions Committee based upon review of the sample of documented scholarly writings and presentations included by the candidate in the application for appointment or promotion. When Scholarship is the candidate's selected area of accomplishment, the five most important scholarly contributions identified by the candidate will be reviewed. The Committee may request additional materials for review if needed.

Letters of Recommendation

- A minimum of six independent external letters of recommendation from referees of Associate Professor rank or higher. Letters from others of similar national stature may be considered.

Professor – Track IV

This rank will be reserved for individuals with outstanding accomplishments. In addition, Professors must have made significant contributions that have furthered the academic and scholarly activities of the institution. Criteria are all of those listed above, plus:

Clinical Criteria

- At least ten years of experience as a clinician or academician, with demonstration of excellence.
- Service as an outstanding role model for students, house staff, fellows, and other faculty.
- An established national, or international reputation as a preeminent clinician, or for expertise in a field.
- Further evidence of reputation can be demonstrated by inclusion in national and international guideline setting panels. National awards will be considered.

Educational Activities

- At least ten years of experience in teaching, with demonstration of excellence, including evidence of regional or national recognition, and outstanding reviews by students and peers.
- Effective mentoring of faculty (junior, mid-career, and senior ranks), house staff, fellows, and students.
- Participation and leadership in continuing medical education programs at regional and national levels. Invitations to speak at education sessions at national and international meetings of professional societies. Participation and leadership in specialty societies. Establishment of national educational programs through professional societies.
- Appointment to accreditation review committees/boards.
- Development of educational programs driven by local and regional needs.
- Demonstrated expertise in curriculum development and/or educational assessment, and application of assessment data for program improvement.

Leadership and Administration

- Documentation of excellence in administrative skills including successful leadership of at least two major academic or clinical committees or programs.
- Participation and leadership in national organizations and committees.
- Development of innovative interdisciplinary approaches to patient care.
- Participation in Duke University Health System programs.

Research and Scholarship

- Participation in research is encouraged. At this rank, for research to be a factor, the faculty member should be participating in research projects as an investigator or in national research groups as a member of steering committees, protocol teams, or within a leadership role.
- Participation in scholarly activities of other faculty, such as: collection of data for studies, writing protocols, and designing or managing research or educational programs. A clearly identified publication subsection of the CV may cite non-authored publications in which the Faculty member=s contributions are formally acknowledged.
- Demonstrated commitment to evidence-based scholarly practice through contributions to the literature in their area of expertise.

Note: The quality of scholarly writings and presentations is more important than the number. Quality will be determined by the Clinical Appointment and Promotions Committee based upon review of the sample of documented scholarly writings and presentations included by the candidate in the application for appointment or promotion. When Scholarship is the candidate=s selected area of accomplishment, the ten most important scholarly contributions identified by the candidate will be reviewed. The Committee may request additional materials for review if needed.

Letters of Recommendation

- A minimum of six independent external letters of recommendation from referees of full Professor rank. Letters from others of similar national stature may be considered.