

This track applies to faculty who wish to be evaluated for promotion on the basis of excellence in clinical care, effectiveness as educators, and / **or contributions to research**. Faculty on this track are expected to excel in their domain of expertise, engage in scholarly activity, and contribute substantively in at least one other domain (see below for descriptions). It is expected that the Faculty Career Track will be the largest track in the School of Medicine and will be appropriate for most faculty.

Three domains of effort, **clinical practice, education programs, and original investigation**, serve as the primary areas of promotion evaluation on the Faculty Career Track (domains are described below).

**Promotion Timing.** The timing of promotion along this track is flexible, allowing faculty to progress at their own pace. This distinguishes it from the Faculty Tenure Track, which is timed and has separate criteria for advancement. The Faculty Tenure Track is described in a separate document.

This information is adopted from The Duke Medical School Faculty Career Track documentation. Additional information for promotion, and explanations regarding *Scholarship*, and *Impact* may be found at Duke Medical School Faculty Career Track ( <https://medschool.duke.edu/sites/default/files/2021-06/faculty-career-track.01.2021.pdf> ).

### Domains of Effort

**Clinical Focus:** This description is relevant to the Clinician-Investigator, Clinician-Educator, Clinician-Administrator and other faculty who devote effort principally to the delivery of clinical care. Clinical faculty in the Faculty Career Track are expected to deliver high quality, compassionate, innovative and evidence-based clinical care. To be considered for promotion, faculty should demonstrate effectiveness in clinical practice as well as at least one additional domain (research / original investigation, clinical practice advancement, education programs, or leadership / service). Several clinician-based 'Pathways to Promotion' are described in this document; these illustrate in part the variety of faculty activities valued by the institution. The Pathways to Promotion are meant to be facilitative and instructive (rather than prescriptive or exclusive) to aid the faculty member in career development and in preparation of materials to be evaluated by mentors and Department / Division leadership. The criteria for promotion are further described below (see Clinical Practice).

**Educational focus:** This description is relevant to faculty for whom the development of education programs is a primary focus.

Educational effort and effectiveness are expected of all faculty, and is an essential component of all promotion dossiers. The majority of faculty in the School of Medicine will engage in teaching in the context of their clinical or research work. The Faculty Career Track allows for education to be a primary focus of the evaluation for promotion. For this focus area, education innovation, program development, leadership, recognition for teaching excellence and scholarship in education all provide evidence of excellence in education and are considered in the promotion process. The criteria are further described below (see Education Programs).

**Research Focus:** This path is expected to be used by research intensive faculty with little clinical responsibilities. This includes **investigators in clinical departments and faculty with a clinical sciences appointment in departments using both clinical and basic science pathways**.

Faculty engaged primarily in research activities are expected to develop high quality, innovative, original contributions. To be considered for promotion, faculty should demonstrate effectiveness in at least one additional domain (education programs, clinical practice advancement, or leadership / service). Research faculty are expected to be collaborative, extending the research capabilities of Duke and fully utilizing available resources in ways that are responsive to the availability of external funding. They are expected to facilitate research opportunities for additional faculty, and protect the long-term financial stability of the research enterprise. Faculty appointments are contingent on the availability and sustainability of external research funding. Should a faculty member lose external funding, departments may provide short-term financial support in the University component of compensation. Faculty are required to keep their Department Chair and (as applicable) Center or Institute Director fully informed of known or reasonably anticipated changes in funding as soon as that information is available. The criteria for promotion are further described below (see Research/Original Investigation).

### **Appointment Ranks**

#### **Medical Instructor**

The rank of Medical Instructor is intended as an entry level appointment. The tenure clock is not active for faculty at this rank. This “pre-tenure clock” appointment provides the beginning faculty member time to establish the foundations of an academic career prior to advancing to the rank of Assistant Professor. Appointment at the rank of Medical Instructor is typically for a period of 1-2 years (maximum of 3 years), after which it is expected that the faculty member will transition to the rank of Assistant Professor as a Regular Rank faculty member, or for clinicians, to transition to the Non-Regular Rank faculty if the intent is to engage solely in clinical practice. The Clinical Sciences Appendix of the Faculty Handbook has additional information about distinctions between Regular Rank and Non-Regular Rank faculty.

#### **Assistant Professor**

The rank of Assistant Professor is intended as an entry level appointment. This appointment is “undifferentiated” regarding track assignment. During time at this rank, the faculty member has the opportunity to become established in scholarly endeavors. The date of hire at the rank of Assistant Professor marks the start of the tenure probationary period. Criteria for promotion from Medical Instructor to Assistant Professor and for initial appointment at the Assistant Professor level are developed at the Department level. The decision to advance an (undifferentiated) Assistant Professor to the Faculty Tenure Track occurs in discussion with the faculty member, faculty member mentor, and the Department Chair or Division Chief. This discussion should be ongoing, with a decision made in the 4th - 5th year after hire. For faculty electing to follow the Faculty Tenure Track, this decision is expected to coincide with promotion to the rank of Associate Professor without tenure. For faculty electing to follow the Faculty Career Track, timing of the promotion to the rank of Associate Professor is flexible.

#### **Associate Professor**

The rank of Associate Professor is earned by the faculty member who has demonstrated excellence as a clinician, educator, and / or investigator along with scholarship that advances the academic missions of the Health System, School of Medicine and / or their Department. This promotion recognizes contributions that add value to the institution and to healthcare. Faculty at the rank of Associate Professor may be eligible for longer term contracts per the discretion of their Department.

To be promoted to the rank of Associate Professor, the faculty member will have a strong institutional (or wider) reputation for excellence in their area of expertise. Faculty at this level should be able to demonstrate effective engagement with the School in several ways, including:

- Contribution to innovative Division level processes and programs.
- Mentoring of trainees and junior colleagues.
- Collaboration across medical disciplines or units.
- Leadership within a service line, local or regional organization, and / or committees, subcommittees, and / or task forces of the University and Health System (including all affiliated hospitals and the Durham Veteran's Administration (VA) Medical Center)

Three domains of effort, **clinical practice, education programs, and original investigation**, serve as the primary areas of promotion evaluation on the Faculty Career Track. Impact at the institutional level in one of these primary domains is required for promotion.

**In addition to impact in one of the three domains of primary focus, promotion to the rank of Associate Professor requires effectiveness in at least one of the additional domains.**

The following paragraphs describe qualities that support advancement to the rank of Associate Professor.

#### **Research / Original Investigation (as area of primary domain or focus)**

- The Associate Professor is expected to have an institutional reputation as an investigator and collaborator, demonstrated by substantive scholarship, leadership of a funded research program, and active facilitation of the research and academic activities of their Division and Department.
- Scholarship in original investigation via peer-reviewed publications is required, with numbers varying by department and type / topic of scholarship. Several of these publications should be first or senior author publications in the faculty member's discipline or should be publications where the role and creative contributions of the faculty member were demonstrably critical.
- Published materials are expected to be constructive conveyors of our academic missions and provide high quality information that enhances and advances the academic missions.
- Faculty at the rank of Associate Professor are expected to contribute expertise and leadership to advancing the research enterprise, such as participation in local and regional administrative meetings, think tanks, or conferences, development of processes to facilitate and improve organizational effectiveness, membership on School of Medicine and University committees, task forces, search committees, and local or regional leadership positions in professional societies or mid-level leadership of a national organization.
- Participation in NIH study sections and equivalent review groups, or election to offices of professional societies, are supportive of promotion.
- Collaborative research and team science are highly valued by the School of Medicine.
- Open Science provides a mechanism for data sharing that supports data transparency and integrity, facilitates scientific discovery and promotes public health. Participation in Duke Open Science and other Open Science platforms is highly valued by the School of Medicine (see also Leadership / Service section).

- Sustained and / or independent research funding is not required; however, effort on funded grants or other forms of demonstrated contribution to ongoing funded activities is expected for promotion that references research / original investigation.
- Other supportive criteria include:
  - Invitations to present topic workshops at regional and national professional meetings
  - Visiting professorships, invited presentations at national meetings, honors and awards
  - Mid-level editorial leadership positions in major journals, or executive leadership of lower-level journals
  - Co-authorship of clinical policy statements, consensus statements, or practice guidelines
  - Influential educational blogs, websites, columns in professional trade journals, or non-technical medicine-related academic books
  - Invention disclosures, patent applications, and / or awarding of patents reflecting clinical innovation
- Effective mentoring of graduate and medical students, postdoctoral fellows, graduate medical education residents and fellows, and / or clinical fellows is expected, within the sphere of expertise of the faculty member.
- Conduct consistent with our Core Values and Statement on Faculty Professionalism is required.

**In addition to impact in one of the three domains of primary focus, promotion to the rank of Associate Professor requires effectiveness in at least one of the additional domains.**

The following paragraphs describe qualities that support advancement to the rank of Associate Professor.

**Clinical Practice Advancement (e.g., patient safety / quality, information technology innovation)**

- The Associate Professor will have demonstrated leadership in developing and evaluating innovative approaches that advance patient care, coordinating a variety of processes, systems and platforms.
- Obtaining funding (institutional or otherwise) for program innovation is viewed favorably.
- Demonstration of improved outcomes in the quality of care, patient satisfaction, value of care, and / or return on investment as a result of clinical practice advancement activities, reflected by use of national metrics, is expected.
- The Associate Professor will have developed institutional, local and regional reputations for excellence:
  - Development of think tanks, collaborative research platforms focused on clinical practice
  - Visiting professorships, invited presentations at national meetings, honors and awards
  - Influential clinical practice blogs, websites, columns in professional trade journals, or non-technical medicine-related academic books
  - Organization and leadership of CME courses focused on clinical practice
- Effective mentoring of trainees and junior faculty is expected, within the sphere of clinical practice advancement of the faculty member.

**Leadership/Service**

- Service to the institution that contributes to the greater good of the University will be considered supportive.
- Leadership of clinical services (inpatient and / or outpatient), participation in clinical regulatory and oversight groups, and / or leadership of clinical teams is expected at the rank of Associate Professor – examples include:
  - Division Chief, service line director, or executive leadership of major health system or Department-wide organizations or committees
- Contribution of expertise and leadership to advancing healthcare is expected, such as participation in local and regional administrative meetings, think tanks, or conferences; development of processes to facilitate and improve organizational effectiveness; membership on School of Medicine and University committees, task forces, search committees, and local or regional leadership positions in professional societies or mid-level leadership of a national organization.
- Open Science provides a mechanism for data sharing that supports data transparency and integrity, facilitates scientific discovery and promotes public health. Participation in Duke Open Science and other Open Science platforms is highly valued by the School of Medicine. Opportunities for documentation of contributions to Open Science include annotation of publications listed in the Duke CV, in the personal statement (for bodies of work such as specific research initiatives), and in the letter of support provided by the Division Chief and Department Chair. Participation is considered under the broad category of service to the School of Medicine. The quality and use of data deposited into Open Science platforms by faculty may be recognized for contributing to knowledge generation and research integrity. Specifics of the policy are available at <https://scholarworks.duke.edu/open-access>.

### **Professor**

The rank of Professor is reserved for individuals who are recognized both within and beyond the institution as outstanding clinicians, educators, and / or investigators with a scholarship portfolio that enables and advances the academic missions of their Department, the School of Medicine, and the Health System. This promotion recognizes contributions that add value to the institution and to healthcare. Faculty at the rank of Professor may be eligible for longer term contracts per the discretion of their Department.

To be promoted to the rank of Professor, the faculty member will have a strong regional or national reputation for excellence in their area of expertise. Faculty at this level should be able to demonstrate effective engagement with the School in several ways, including:

- Leadership and innovation through Department level programs that could serve as exemplars for other institutions to emulate.
- Mentoring of learners and colleagues.
- Collaboration across departments, disciplines and / or institutions.
- Executive level leadership within a service line, local or regional organization, and / or committee, or subcommittee, and / or task forces of the University and Health System (including all affiliated hospitals and the Durham Veteran's Administration (VA) Medical Center)

Criteria for achievement listed under each category below are meant to build on those described for prior ranks, and should be considered in that context.

### **Research / Original Investigation (as area of primary focus)**

- The Professor will have established a national reputation as a researcher, demonstrated by significant scholarship, publications, funding support, participation in NIH study sections and equivalent review groups, and election to offices of professional societies.
- Authorship of peer-reviewed publications is required. Numbers and impact will vary by department and type / topic of scholarship. Ranges of numbers of publications for faculty previously promoted at each rank are available from the Department and School of Medicine APT offices. It is expected that as a faculty member progresses in rank, the faculty member will author an increasingly larger proportion of first author, co-first author, and senior author manuscripts, and provide and promote substantive contributions to team science efforts. Publications reflecting large collaborative efforts are encouraged.
  - Objective metrics may include the impact factor of the journals accepting the work, advancements of the faculty member's h-index or similar metrics, and lay press or other acknowledgement of the work's broad interest
  - At least 5 of these publications should be first or senior author publications in the discipline of the faculty member or should be team science middle author publications where the role and creative contributions of the faculty member were demonstrably critical
  - The 10 most important papers, as identified by the faculty member, will be included in the promotion dossier and reviewed by the Department APT (DAPT) Committee for originality and significance of scholarship
  - As appropriate, intellectual property development is also considered, provided there is evidence of the faculty member's significant contribution and the work is peer reviewed
- For faculty who have little clinical responsibilities, expectations are for higher than minimal numbers of publications. Publication number alone is insufficient for promotion – the body of work must demonstrate impact on the field.
- The rank of Professor requires that the faculty member is clearly recognized as a leader of the institution. Evidence of institutional leadership across the mission areas in a manner that improves the effectiveness of the organization is required for promotion at this level.
- Multi-year service as a full committee member on institution-wide committees such as an IRB panel, Institutional Animal Care and Use Committee (IACUC), Institutional Biosafety Committee, with attendance consistent with committee standards, is required. The goal at this level of promotion is to developing effective processes, structure and procedures to facilitate and improve organizational effectiveness that deliver positive impact on the institution.
- Contributions to the institution through service to the Duke School of Medicine, Duke Hospital, Duke University, and Department committees (e.g., chair search, strategic faculty recruitments, five-year reviews, periodic reviews of academic units including departments, divisions, centers, institutes, and other work groups as needed) will be considered favorably for promotion at the rank of Professor.
- The rank of Professor requires that the faculty member will have made educational contributions to the institution and beyond. Examples of educational activities that can be used to support promotion include:
  - Invited lectures at national meetings, seminars, and workshops, successful mentorship of graduate students and residents pursuing advanced degrees (e.g., Master's and PhD degrees), and regional presentations
  - Local and national recognition for teaching through awards will also be considered in the evaluation of the faculty member's educational work

- Open Science provides a mechanism for data sharing that supports data transparency and integrity, facilitates scientific discovery and promotes public health. Participation in Duke Open Science and other Open Science platforms is highly valued by the School of Medicine (see also Leadership / Service section).
- Sustained and / or independent research funding is not required; however, effort on funded grants or other forms of demonstrated contribution to ongoing funded activities is expected for promotion that references research / original investigation.
- Effective mentoring of graduate and medical students, postdoctoral fellows, graduate medical education residents and fellows, and / or clinical fellows is expected, within the sphere of expertise of the faculty member.
- Conduct consistent with our Core Values and Statement on Faculty Professionalism is required.

**In addition to impact in research as the primary focus, promotion to the rank of Professor requires effectiveness in at least one of the additional domains.** The following paragraphs describe qualities that support advancement to the rank of Professor.

**Clinical Practice Advancement (e.g., patient safety / quality, information technology innovation)**

- The Professor will have established nationally recognized expertise related to activities in this domain, particularly innovative approaches for developing and implementing programs that advance patient care coordination across a variety of platforms and processes.
- Professors will be recognized institutional leaders positioned to guide others in the use of processes, systems, and technologies that enhance patient care and healthcare.
- Professors are expected to embrace and enable collaborative and innovative approaches.
- Effective mentoring of trainees and junior faculty is expected, within the sphere of clinical practice advancement of the faculty member.

**Leadership/Service**

- Professors should be clearly recognized as leaders of the institution through leadership of a discipline, service line, cross departmental program, course or administrative unit.
- Significant leadership of clinical services, participation in clinical regulatory and oversight groups, or demonstration of significant leadership of operating room or clinical teams is expected of faculty members at this rank – examples include:
  - Division Chief, service line director, and executive leadership of a major Department-wide organization or committee
  - Participation in regional and national administrative meetings, think tanks, or conferences; development of processes to facilitate and improve organizational effectiveness; membership on University Committees, task forces, search committees, and leadership position of a regional or national professional society or organization
  - Active engagement with recruitment processes for new faculty and learners as requested by the Chair
- Open Science provides a mechanism for data sharing that supports data transparency and integrity, facilitates scientific discovery and promotes public health. Participation in Duke Open Science and other Open Science platforms is highly valued by the School of Medicine. Opportunities for documentation of contributions to Open Science include annotation of publications listed in the Duke CV, in the personal statement (for bodies of work such as specific

research initiatives), and in the letter of support provided by the Division Chief and Department Chair. Participation is considered under the broad category of service to the School of Medicine. The quality and use of data deposited into Open Science platforms by faculty may be recognized for contributing to knowledge generation and research integrity. Specifics of the policy are available at <https://scholarworks.duke.edu/open-access>.

Once nominated for promotion, typically by your Division Chief, the nomination is voted on by the Department Appointments, Promotion, and Tenure (DAPT) Committee. If the nomination is approved you will need to provide the information/documentation listed below, to the DAPT Administrator ([pamela.neville@duke.edu](mailto:pamela.neville@duke.edu)). Once the documents are received (including receipt of the letters of recommendation), the dossier will be presented to the DAPT Committee for a formal review, discussion, and vote on formal promotion. The meetings are held quarterly (typically in June, September, December, and March). If your dossier is approved by the committee, it will be forwarded to the Department Chair, and School of Medicine for review, and approval.

### Required Documentation for Promotion

- **Intellectual Development Statement** The links below will assist you in preparing this document <https://sites.duke.edu/aptneurology/files/2022/04/Intellectual-Development-Statement.doc> (document will download)
- [APT Intellectual Development Statement Guidelines](#) (right click and open this link in a new tab)
- **Current CV in Duke Format** (download document from this link <https://sites.duke.edu/aptneurology/files/2022/04/Duke-CV-Template-8-1.doc>) Please add an "Invited Lectures" section in your CV. You can add under "Other", label it as section d. Invited Lectures.
- **Annotated Bibliography** (publications within the past seven years). A list of the faculty member's most significant publications over the past seven years. The annotated listing of publications should consist of: the most significant publications over the past 7 years; a full citation for each work (author, publication year, title of article, journal name, volume and pages); a brief, 3-4 sentence description of the major findings of each work and its significance. The list should be determined by the faculty member.
  - For Associate Professor, Career Track 5 publications (within the last 7 years)
  - Professors, Career Track 10 publications (within the last 7 years)
- **Six (6) Letters of recommendation.** You may work with your division chief for help with developing a roster of 8-10 names so that we may request letters of recommendation. We will need the name, rank, address, email address, and phone number of 8-10 reviewers who are experts in your field. The reviewers should be able to independently evaluate your work. The School of Medicine requires 6 letters of recommendation (reviewers external to Duke are required). We request 8-10 names because not every request will be acknowledged. The reviewer must be at or above the proposed rank, at an external academic institution, and you cannot have had any direct collaboration with them in the last 7 years. They do *not* have to know you, and it is actually best to have a few names of people who truly don't know you. The administrative coordinator, Pamela Neville ([pamela.neville@duke.edu](mailto:pamela.neville@duke.edu)) will request the letters on behalf of the faculty member.



List of Reviewers -  
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