The ABCs of APT*

James E. Tcheng, MD
Assistant Dean for Academic Appointments

Ann J. Brown, MD MHS
Vice Dean for Faculty

Duke University School of Medicine
New Faculty Orientation, December 6, 2021

*APT = APPOINTMENT, PROMOTION AND TENURE
Section 1

KNOW YOUR ENVIRONMENT

James E. Tcheng, MD
Assistant Dean for Appointments, Promotion and Tenure
Duke University School of Medicine
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There are approximately 2500 faculty in the School of Medicine.
The School of Medicine offers a wide variety of resources and programs to support more than 2,300 faculty at all levels of their professional careers.

Faculty Affairs and Development

**Faculty Affairs**
- Office for Faculty
  - Faculty Appointments, Promotion, & Tenure
  - Faculty Professionalism
- Faculty Affairs Tools and Policies
  - Faculty Annual Reviews
  - Duke University Faculty Handbook

**Diversity & Inclusion**
- Office for Diversity and Inclusion
  - Resources
  - Inclusive Recruitment Toolkit
  - Underrepresented Faculty Development

**Development Programs**
- ADVANCE UP
- ALICE Program
- Duke AHEAD
- Duke Clinical Leadership Program
- Leadership Development for Researchers
- New Faculty Orientation
- Faculty Development
- Professional Development Seminars
- Research Mentoring

**Faculty Awards**
- School of Medicine Faculty Awards
- Michelle Winn Inclusive Excellence Awards
Faculty Appointments, Promotion, & Tenure

The Faculty Appointments, Promotion and Tenure Office assists in facilitating best practices in the consideration of faculty appointments, promotions and tenure for the School of Medicine and School of Nursing.

Working closely with department managers and chairs, the office provides guidance, training and resources necessary to recruit and retain exceptional faculty. We support the School of Medicine’s and School of Nursing’s missions of excellence and innovation in education, patient care and research.
Resources for Dossier

- Curriculum Vitae Template
- Intellectual Development Statement
- Annotated Bibliography

Additional Resources

- Faculty Career Track
- Faculty Tenure Track
- Quick Reference Guide for APT
- Duke University Faculty Handbook
  - Appendix L - Faculty Handbook, Clinical Sciences
  - Professional Affairs of the Faculty - Tenure Clock Relief, Flexible Work Arrangements and Leave of Absence
- Faculty Ombudsman
- Tenure Clock Extension Form
- Guidance for Scholarship Impacted by COVID-19
Pre-2021 Promotion and Tenure Tracks

- Medical Instructor
- Assistant Professor (Tracks I/II/III/IV/V) – tenure clock begins, track assigned, 10 years to tenure decision
- Associate Professor without tenure (Tracks I/II/III/IV/V) – must declare final track

### 3 Tenure Tracks
- Track 1 – Clinician/Educator
- Track 2 – Clinician-Investigator
- Track 3 – Researcher

### 2 Nontenure Tracks
- Track 4 – Academic Clinician
- Track 5 – Researcher

- Associate Professor with tenure
- Professor with tenure

- Professor (without tenure)
Drivers of Changes to APT Guidelines

• What does Duke value?
• Need for greater clarity regarding promotion requirements, stages / timelines
• What’s in a (track) name? Unclear distinctions among tenure tracks (I-III)
• What does “tenure” in the clinical sciences actually mean in an academic medical center?
• Desire to be more expansive in promotion evaluation criteria
  • Manuscripts / grants vs. non-traditional scholarship
  • Recognition, career stability via long-term contracts
Taskforce Timeline

- **Dec 2017**: *Task Force convened, environment scan*
- **Summer-Fall 2018**: 13 faculty focus groups convened
- **Spring-Summer 2019**: Open comment period for faculty (>300 responses)
- **Fall 2019**: Changes favored by faculty proposed to Clinical Chairs via survey
- **Nov 2019**: Clinical Chairs, Institute/Centers Directors review
- **Jan 2019**: Clinical Sciences Faculty Council, Medical Center Exec Committee approvals

*Debara Tucci, James Tcheng, Herman Staats, David Pisetsky, Cynthia Shortell, Annette Whitesell*
2021 APT Guidelines - Key Cumulative Changes

- Time limit in rank at Medical Instructor of 3yr (nominal 1-2yr)
- Assistant Professor now an “undifferentiated rank” – starts the tenure clock
- Track declaration moved to rank of Associate Professor
- The 3 tenure tracks (I/II/III) become the Faculty Tenure Track, and the 2 non-tenure tracks (IV/V) become the Faculty Career Track
  - Tracks are promotion pathways, are equally valued
  - Majority of clinician/educators better rewarded in the Faculty Career Track
  - No distinction of “Tenure” vs. “Career” in academic/external title
- Promotion criteria inclusive of non-traditional scholarship (both Tracks)
  - E.g., education, team science, diversity equity and inclusion, advocacy, leadership, innovation, quality improvement, outreach, digital, social media, etc.
- Affirmation that promotion in Tenure Track still requires grants and traditional (publication) productivity, with other scholarly activity considered as well
- Possibility of multiyear, extended term contracts in Career Track
- Professionalism now a requirement for promotion in both tracks
- Participation in Open Science considered in promotion assessment
Initial Appointment

• Typical initial faculty appointment is at the rank of Medical Instructor* or Assistant Professor
  – No assignment of Tenure Track vs. Career Track
  – Time at rank of Medical Instructor not counted against tenure clock
  – Rank of Assistant Professor starts the 10-year tenure clock

• Annual review conducted at ~4-5 years at rank of Assistant Professor (evaluation for promotion to Associate Professor) is when Track decision made

*Medical Instructor is a Regular Rank appointment
Assistant Professor (tenure clock begins) 1-2 years

Medical Instructor

Faculty Tenure Track

Associate Professor (~5 years)

Review of Tenure Application

Associate Professor with tenure

Professor with tenure

Faculty Career Track

Assistant Professor (continued appt)

Associate Professor (extended term possible)

Professor (extended term possible)

Career Discussion and Tenure Track Decision ~ 4-5 years
Criteria for Promotion: Clinical Sciences

• Applies to Regular Rank Faculty with Clinical Sciences appointment:
  – MDs
  – PhDs
  – MD/PhDs
  – Other terminal degree holders in the clinical departments

• Specific criteria depends on Track, Department, area of focus
What is Described in the APT Guidelines?

**Tenure Track Domains**
- Scholarship
- Excellence across
  - Clinical
  - Education
  - Leadership / service

**Career Track Areas of Emphasis**
- Clinical
- Research
- Education

*one area of emphasis, contributions across other areas
Boyer’s Expanded Concept of Scholarship

Discovery
- Research

Integration
- Interpreting use of new knowledge across disciplines

Application
- Aid society and professions in addressing problems

Teaching
- Studying the process of education

Boyer’s Model of Scholarship, Marta Nibert
Examples of Scholarship

• Integration:
  – translating research discoveries – e.g., through review articles, guidelines development, explaining meaning to the field, addressing implications

• Application:
  – service, engagement, advocacy – e.g., identifying problems and implications early, implementing solutions (and assessment thereof), policy / position statements

• Teaching:
  – creating a new curriculum and evaluating its effectiveness
Tenure Track vs Career Track

**Tenure Track**

- **Primary mission**
  - Unique contributions to science and medicine, teaching, mentoring, clinical care

- **Focus for promotion**
  - *Scholarship, impact*, innovation, reputation, grant funding, teaching and mentoring

- **Secondary objectives**
  - Metrics reflecting research productivity, impact, teaching, mentee success, clinical care

- **Tenure clock**
  - 10 yrs from appointment at rank of Assistant Professor

- **Scholarship effort**
  - >30% research, with focus & continuity

- **Research funding philosophy**
  - Substantive support required (c/w discipline)
Tenure Track vs Career Track

**Career Track**

- Primary mission
  - Clinical care, education, contributions to research, support of enterprise
- Focus for promotion
  - Reputation and productivity, teaching, contributions to research, leadership roles
- Secondary objectives
  - Metrics reflecting clinical care quality, education of learners, publications, grant funding
- Tenure clock
  - Does not dictate promotion cadence
- Scholarship effort
  - Varies widely per focus
- Research funding philosophy
  - Supportive (not required)
Metrics

Tenure Track

• Associate Professor
  • 15 pubs/5 as 1st or senior
  • Excellence in teaching
  • Grant funding required (c/w discipline)

• Associate Professor with tenure
  • 25 pubs/10 as first or senior
  • Top 25% impact
  • Peer-reviewed grant funding as PI
  • Regional to national reputation

• Professor with tenure
  • 50 pubs/20 as first or senior
  • National to international reputation
  • Grant funding required (c/w discipline)
  • Mentee success
Metrics

**Career Track**

**Associate Professor**
- 10 pubs/3 as 1st or senior (DAPT discretion)
- Scholarship can be varied (education, DEI, advocacy, leadership, innovation, QA, outreach, digital) - *can substitute for traditional publication requirement*
- Regional reputation
- Excellence in teaching
- Possible multiyear contract

**Professor**
- Continued scholarship, contributions / excellence across multiple domains
- Top 50% impact
- National reputation
Impact

• Your responsibility to describe in Intellectual Development Statement (IDS)

• h-Index – available at Scholars at Duke: https://scholars.duke.edu/

• NIH iCite Relative Citation Ratio: https://icite.od.nih.gov/

• Include non-traditional scholarship!
  – Digital dissemination, responsibilities in team science efforts, leadership in DEI, contributions to Open Science, advocacy results, etc.
Clinical Sciences APT Process

- Department APT Committee and Department Chair responsible for all promotion recommendations
- Specific criteria dependent upon rank
- Additional level of review / approval: Clinical Sciences APT Committee reviews tenure applications (promotion of Associate Professor to Associate Professor with tenure) and promotions to Professor with tenure
What are the Ranks at Duke?

Clinical
- Medical Instructor
  - (incubator status, tenure clock not active)
- Assistant Professor
- Associate Professor
- Associate Professor
  - with tenure (Tenure Track)
- Professor
  - without tenure (Career Track)
  - with tenure (Tenure Track)

Basic
- Assistant Professor
- Associate Professor with tenure
- Professor
- And others tailored to individual circumstances, not linked to tenure track
  - E.g. Research Assistant Professor
Chair notifies faculty member of DAPT recommendation

A= Approval
I= Information only
DAPT=Departmental APT
BoT=Board of Trustees
CS-APT=Clinical Sciences APT
To Associate Professor and Full Professor (Career Track)

Chair notifies faculty member of DAPT recommendation

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MCEC= Med Ctr Exec Committee

Approx 12 months
To Associate Professor (with tenure) and Full Professor (with tenure) - Tenure Track

Chair notifies faculty member of DAPT recommendation

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About 12 months

Dossier for promotion with tenure MUST be submitted by beginning of 10th year

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What is Tenure?

• Evaluation of an enterprise leading to commitment of resources and employment (absence malfeasance) reflecting expectation of a continued trajectory of productivity, scholarship, impact, contribution, and professionalism

• Awarded based on academic accomplishment (scholarship and impact) – not clinical volume, RVU’s, etc.

• Not an honorific, specific salary not promised, not reflected in external title (or your business card) …
Declaring for Tenure Track

• Move to tenure track will typically occur at time of promotion to Associate Professor
  – Must be approved by the Department APT Committee and Department Chair
  – Promotion typically considered after 4-5 years on faculty

• An Associate Professor in the Career Track can still change to tenure track at next promotion

Important notes about timing:
• Must submit tenure materials by beginning of 10th year
• Tenure decision must be made by end of 10th year
Tenure Clock

• Tenure clock starts with first appointment at rank of Assistant Professor

• Tenure clock extensions
  – Details described in Faculty Handbook
  – Automatic 1 year extension for COVID-19
  – Maximum extension for all reasons of 3 years
    • EXCEPTION: no limit for childbearing
# Tenure Clock Extensions

<table>
<thead>
<tr>
<th>Event</th>
<th>Max # extensions</th>
<th>Max # extensions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Parental leave</td>
<td>Automatic 1 yr</td>
<td>No limit</td>
</tr>
<tr>
<td>Primary caregiver for parent, child, spouse or domestic partner for serious health conditions</td>
<td>1 semester per event</td>
<td>2</td>
</tr>
<tr>
<td>Serious health condition of faculty member</td>
<td>Max 2 semesters per event</td>
<td>2</td>
</tr>
<tr>
<td>Death of parent, child, spouse or domestic partner</td>
<td>1 semester per event</td>
<td>2</td>
</tr>
<tr>
<td>Catastrophic residential property loss</td>
<td>1 semester per event</td>
<td>2</td>
</tr>
<tr>
<td>Other personal or family priority approved via Flexible Work Arrangements (FWA) policy</td>
<td>3 mo/yr FWA</td>
<td>2</td>
</tr>
<tr>
<td>Specialized experience or training, or significantly increased admin duties</td>
<td>No limit (subject to overall 3 yr limit on extensions)</td>
<td></td>
</tr>
<tr>
<td>Flexible Work Arrangements (FWA)</td>
<td>3 mo/yr of FWA</td>
<td>3 yr limit on relief</td>
</tr>
</tbody>
</table>

See Duke Faculty Handbook for details
Dismantling Racism and Advancing Equity, Diversity and Inclusion in the School of Medicine
JEDAI Rubric for APT
Justice, Equity, Diversity, Antiracism, Inclusion

• Guidance for faculty and DAPT Committees
• Acknowledges potential for traditional academic and non-traditional productivity
• Emphasis on describing JEDAI contributions in your Intellectual Development Statement
• Extensive examples of scholarship, impact, and assessment
• Anticipate discussion in your annual review about JEDAI contributions
Reference Content

- Quick Reference Guide
- Non-traditional scholarship guidance:
  - Digital, team science, DEI, advocacy
- Scholars at Duke – document your career: https://scholars.duke.edu/
- Faculty Handbook
Section 2

COMMUNICATE

Ann J Brown MD MHS
Vice Dean for Faculty
Duke University School of Medicine
New Faculty Orientation, December 6, 2021
Shape your “public” profile

• Send good news upward
• Ask for a CV review
• Hone your “elevator pitch”
Create your public profile

• Your Academic Profile
  – Scholars@Duke
    http://scholars.duke.edu
    for help see home>about>support

• Your Clinical Profile
  – Duke Health profile
    https://providers.duhs.duke.edu/
Check your impact

• Consult a librarian
  – Impact factor
  – H-index
  – Times cited
  – other

medical-librarian@duke.edu or 919-660-1100
Develop a Reputation

• “National and international reputation”
  – Examples
    • Presentations
    • Service on Society committees
    • Participation in writing clinical guidelines
    • Service on editorial boards
Save evidence of your work

- Teaching evaluations
- Invitations to serve on committees
- Unsolicited letters from patients
- Notices of awards
Communicate

• Identify the person responsible for moving your promotion forward
  – Division Chief, Section Head...

• Engage Center/Institute Director if you spend significant time in one

• Communicate with leadership about your career development and goals
Ask for an annual review

- See templates on facdev.medschool.duke.edu

- Prepare for the review by
  - Update your CV (via Scholars@Duke)
    - Or using Duke CV Format
  - List all activities
  - Identify goals (1 yr and longer term)
  - List accomplishments
  - Plan questions
Annual Review

• Discuss how your work addresses promotion criteria

• Ask questions
  – “What areas do I need to develop further in the next year?”
  – “Are there specific actions I can take to strengthen my portfolio?”
  – “What accomplishment(s) would make it possible for you to fully support my promotion?”
Plan your dossier

• Formatted CV
• Intellectual statement
• Relevant portfolio
  – Teaching
  – Administrative
  – Clinical
• External evaluation
Plan your dossier

• Formatted CV
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Duke Formatted CV

• Scholars@Duke can be used to create a Duke-formatted CV
  – Scholars@Duke>About>Support>User Guides>Creating a SOM APT CV

• See Duke Clinical Sciences APT Website
  – For Faculty>Resources
Intellectual Statement

Addresses “critical areas of experience, contribution and accomplishment”

From Med School APT Website:

APT Intellectual Development Statement Guidelines

Each Faculty dossier submitted for promotion and/or award of tenure should contain an Intellectual Development Statement authored by the candidate that addresses critical areas of experience, contribution, and accomplishment (e.g., educational background and training, professional activities, teaching contributions, academic achievements and scholarship, grant support, local, national, and international leadership, etc.). The Statement should also include the candidate's vision and goals for continuing professional development within the academic environment.

Educational Contributions

Regarding the summary of educational contributions, content is to be provided primarily by the faculty member via the Intellectual Development Statement, supplemented by additional materials provided by the Department Chair. While appropriate summaries of teaching, mentoring and educational activities are expected from all faculty, comprehensive summaries of such activities will be especially important for faculty with a primarily clinical care focus (whether Faculty Career Track or Faculty Tenure Track). Faculty with a primarily research focus should include teaching and mentoring activities that occur within the context of ongoing research efforts (e.g., laboratory training and instruction). The text and table below are provided as a general guide for organizing relevant materials and should be adapted to the specific activities of the individual faculty member.

Documentation of educational contributions to be prepared by the faculty member include:

1. In the Intellectual Development Statement, the candidate should address his/her accomplishments and plans as a teacher, mentor, and educator. Elements to be included
Intellectual Statement

• Educational Background & Training
• Activities
• Teaching Contributions
• Academic Achievements and Scholarship
• Grant Support
• Leadership (local, national, international)
• Community engagement
• Contributions to Diversity, Equity, Inclusion
• Plans for continued development
Intellectual Statement

This statement should include the candidate’s vision and goals for continuing professional development within the academic environment.
Intellectual Statement

• Explicitly connect your accomplishments to written promotion criteria
  – “Through my work in X I have had the opportunity to work on national guidelines/present at an international meeting for Y, addressing the promotion criterion for “national reputation””
Education Portfolio

• Personal Goals/Values
  – Educational Philosophy and Impact of Educational Work

• Teaching and Supporting Learners
  – Direct Teaching
  – Education Awards and Special Recognition
  – Mentoring
  – Curriculum/Assessment development
Education Portfolio

• Educational Research and Evidence Based Practice
  – Education Publications
  – Editorship/review of health professions education journals
  – Health professionals education research support
Education Portfolio

• Educational Management/Leadership
  – Education degrees earned
  – Education courses attended
  – Education committees
  – Education professional memberships and associations
External Evaluation

• APT committee sends requests for external evaluation

• Evaluators are individuals who are in your field, but who reap no secondary gain by your advancement
  – No colleagues, collaborators, mentors
External Evaluation

• Evaluators base their review on the materials in your dossier
  – CV
  – Intellectual Statement
  – Copies of scholarly work
External Evaluation

• Assesses
  – Quality
  – Significance
  – Impact
  – How you rank relative to others
  – Likelihood of achieving similar rank at another leading institution
Resources

– Department
  • Administrative Liaison
  • Faculty Liaison

– Faculty APT Guidelines
  • https://medschool.duke.edu/about-us/faculty-resources/faculty-appointments-promotion-tenure

– Faculty Handbook
  • https://provost.duke.edu/faculty-resources/faculty-handbook/

– Office for Faculty Development
  • https://medschool.duke.edu/about-us/faculty-resources/faculty-development
Clinical Science APT Panel

Moderator:
Ann Brown, MD, MHS
Professor of Medicine, Vice Dean for Faculty

James Tcheng, MD
Professor of Medicine
Professor of Family Medicine and Community Health (Informatics)
Assistant Dean for Academic Appointments

Mara Becker, MD
Professor of Pediatrics
Vice Chair for Faculty
Member in the Duke Clinical Research Institute

Viviana Martinez-Bianchi, MD
Associate Professor in Family Medicine and Community Health

Mitch Heflin, MD
Professor of Medicine
Vice Chair for Education

Deborah Muoio, PhD
Professor of Medicine
Director of Basic Research, Duke Molecular Physiology Institute

Herman Staats, PhD
Professor and Vice Chair of Research, Department of Pathology