

Department of Orthopaedic Surgery and Sports Medicine

Statement of Evidence – Promotion and Tenure

I. Introduction

Promotion, and award of tenure (if applicable), are means by which the Department of Orthopaedic Surgery and Sports Medicine encourages, recognizes and rewards academic achievement and productivity, and strives to maintain a faculty of excellence in service, education and research. In keeping with University policy, promotion will be based upon the demonstration of professional competence, productivity, and achievement as judged by criteria in the areas of teaching, research/scholarly activities and University service (and clinical service as applicable) and the continuing need for a faculty member with particular qualifications and competencies. Evidence of clinical and research support of salary costs is also weighed against clinical, education and research productivity annually as well as toward promotion.

Faculty promotion shall be reviewed through the peer participation in the department with clear standards for outstanding performance of academic responsibilities that are consistent with expectations for faculty. Tenure or non-tenured faculty shall carry out their academic responsibilities as outlined in their job descriptions and DOEs. Annual evaluations procedures shall provide multiple outcomes including information for department planning, merit salary decisions, progress toward promotion and/or tenure, differential allocation of effort, and strategies for renewal or development.

II. Promotion

Promotions are not automatic but are based on merit. Promotion is not contingent upon any set of duration of appointment (unless otherwise defined by time regulations for the granting of tenure), but a period of less than the typical 5-6 years in rank would be considered early and should only be considered if the faculty member has not just met, but exceeded the expectations and has the full support of the chair and departmental faculty. In addition to the usual criteria of outstanding performance in teaching, research/scholarly activity and service, contributions to the overall development and reputation of the College of Medicine by professional activities will be considered. Because of the varying missions of departments within the College of Medicine, criteria for promotion/tenure must be applied with consideration of our department discipline and peer review. However, for each individual, it is required that lesser achievement in one area be balanced by excellence in another. Demonstrable competence in teaching, research activity, scholarship and professional service/patient care are of paramount consideration. The understanding between the College of Medicine and the Department of Orthopaedic Surgery and Sports Medicine faculty members regarding the distribution of effort in the areas of teaching, research and service must be a factor when various criteria are balanced. Evidence of scholarship should be manifested in peer reviewed publications or comparable communications.

Promotion vs. Tenure

Promotion is available to all department faculty members, regardless of tenure-track or non-tenure track appointment. Promotions are based on meritorious fulfillment of the faculty member's job description and DOE. Tenure, when the candidate is on a tenure track appointment, is based on overall merit, a sustained record in scholarship, and commitment to the maintenance of high standards of performance in teaching, service, and scholarship.

Exceptions to the use of Department policies and definitions may be made on a case-by-case basis by the Department Chair after consultation with the Dean. Such expectations need to be clearly indicated in the offer letter from the Chief/Chair.

- This exception recognizes that individual faculty members may have unique contributions or circumstances that may need to be considered on a case-by-case basis. For example, faculty working in non-academic settings, or faculty with essentially no ability to undertake any academic activities (administrative, scholarly, educational.)

Title series changes cannot occur; however, faculty are eligible to apply for a new position in a new Title series at any time. The faculty member will be considered for appointment to a new title series position per the usual Department and College procedures. There is no “time clock” limitations on applying to new title series positions.

The following table is used to define local, regional, or national reputation. Regional definition is subdivided into rankings (progressive rankings indicate progressive expansion of regional reputation)

	Clinical Title Series	Regular, Research or Special Title Series
Local	Within Department	Within College of Medicine
Regional	(Outside of UK, within Kentucky	Beyond UK, within Kentucky or surrounding states
National	Outside of Kentucky	Outside of Kentucky

III. Comprehensive Examples of Evidences of Activity that are appropriate for use in guiding the evaluation for promotion and tenure:

In Instruction

Recognition:

- Outstanding teaching performance as evidenced by such measures as peer-evaluation, student satisfaction, and student outcomes
- Selection for a university or professional society outstanding teacher award
- Receipt of awards for research or academic performance by the faculty member’s students
- Receiving external grant support for teaching/learning projects
- Receiving on a competitive basis internal funding for teaching
- Invitation to teach at domestic or international institution

Mentoring and Advising:

- Significant contribution to the professional development of students
- Outstanding performance as a departmental undergraduate or graduate advisor
- Evidence of student mentoring (professional or graduate students)
- Member of graduate student advisory committees
- Placement of graduate students or post-doctoral fellows into academic, scholarly or professional positions

Direction and Leadership:

- Outstanding direction of graduate research or creative activity that is validated by peers
- Direction or leadership role in administering COM courses
- Direction or leadership role in administering Graduate Medical Education programs

- Developing a new course that fills an identified need in the curriculum
- Evidence of courses taught at a rigorous and challenging level, with recognized excellence
- Direction of graduate student thesis or dissertation research
- Successful participation at teaching workshops

Publications:

- Scholarly publications related to teaching

In Research/Scholarly Activity

- Substantial extramural, peer-reviewed, funding as principal investigator or project leader
- Receiving major fellowship or research award
- Publications in refereed journals
- Significant publication and/or funding resulting from collaborative efforts with researchers in other fields where the faculty member occupies a substantial role in research
- Publication of scholarly book(s)
- Publication of a chapter in a scholarly book
- Editing a scholarly book
- Frequent citation of publications
- Serving as editor or member of editorial board of peer-reviewed journals
- Serving as a member of review panel for national research organization
- Presentation of invited papers at international and national meetings
- Successful acquisition of patents and other intellectual properties

In Service

Administrative and Leadership

- Being an officer or an active committee or subcommittee member in a national or international professional organization
- Being an officer or an active committee or subcommittee member in a regional or state professional organization
- Serving on a governmental commission, task force, or board
- Serving an administrative leadership role at UK or its affiliated institutions
- Serving as program chair or in a similar position at a national or international meeting
- Serving as an officer or active member in the Faculty senate or Faculty council
- Serving as an officer or active member of major COM or Department of Orthopaedic Surgery committees
- Serving as an officer or active member in major committees at the University hospital, VA hospital or other patient care-related facilities
- Serving as a member of the IRB or IACUC research committees

Patient Care

- Evidence of excellence in professional service to the local community and public at large
- Number of patient encounters
- Number of patient referrals from outside the university
- Number of patient consultations
- Provision of unusual types of service not otherwise available in the region
- Organizing innovative types of patient care programs
- Organizer of state, regional, national or international conference or symposium

- Evidence of excellent performance as medical director of various clinical entities
- Serving as consultant at national and international levels
- Evidence of substantial involvement in local, regional, national and international humanistic activities and volunteerism

IV. Criteria for Promotion Clinical Title Series (non-tenure)

A. Instructor to Assistant Professor

1. Minimum experience requirements:
 - a) M.D. or equivalent degree
 - b) Faculty holding the M.D. degree should be Board Certified or Eligible in Orthopaedic Surgery or subspecialty but preferably Board Certified.

2.
 - a) Administration
 - (1) Demonstrated successful experience in the administration of orthopaedic – musculoskeletal services including interaction with physicians and staff as attested to by colleagues, mentors or peers.
 - (2) Demonstrated satisfactory performance as a supervisor of residents, students and hospital staff as attested to by colleagues, mentors or peers.
 - (3) Service on Departmental committees as assigned.

 - b) Clinical Service (Direct Patient Care):
 - (1) Potential for expertise to provide surgical and diagnostics services as attested to by colleagues, mentors or peers.

 - c) Instruction:
 - (1) Potential for excellence in teaching of medical students, residents, fellows, continuing medical education attendees, and peers as demonstrated by student, resident and peer evaluations.
 - (2) Demonstrated satisfactory teaching through evaluations at previous institutions or positions, if available.
 - (3) Demonstration of clinical knowledge through syllabi, video and audio learning aids, computer-based material, and/or professional communications to physicians and hospital staff.

 - d) Research (Scholarly Activities):
 - (1) Potential for successful collaborative research or creative work supported through contracts, grants or other funds and reported in peer-reviewed journals.

 - e) Professional Development:
 - (1) Potential for excellence in continuing professional development in orthopaedic surgery as attested to by colleagues, mentors or peers.
 - (2) Demonstrated professional recognition as evidenced by participation as evidenced by participation or membership in professional organizations at the local level.

B. Criteria for Promotion Assistant to Associate Professor Clinical Title Series- (non-tenure eligible)

1. In addition to the above overall evidence of excellence at a regional level demonstrated by effective performance in all major areas of responsibility and excellence in either

teaching or research/scholarly activities.

2. Minimum experience suggested:

a) M.D. or equivalent degree, board completion and 4 years of satisfactory performance at the level of Assistant Professor

b) In addition to meeting the criteria for Assistant Professor, appointment or promotion to the rank of Associate Professor shall require demonstration of continued achievement and regional recognition as a leader in administration, patient care, instruction, service, academic, and research endeavors.

c) Administration:

(1) Continuing evidence and peer recognition as administrative and clinical physician at regional levels as attested to by colleagues, mentors or peers.

(2) Provide significant demonstrable contributions to clinical services and orthopaedic administration in clinical and musculoskeletal research as attested to by faculty and colleagues.

(3) Continuing evidence of participation in extra-departmental clinical rounds and conferences presenting musculoskeletal/orthopaedic findings and their significance in the care of patient as attested to by colleagues, mentors or peers.

(4) Continuing evidence of excellence as a clinician role model in the teaching of outside physicians and residents on the administration of care based on musculoskeletal/orthopaedic results as attested to by colleagues, peers and staff.

(5) Service on Departmental, College of Medicine and/or Hospital committees as assigned.

d) Clinical Service (Direct Patient Care):

(1) Provide significant demonstrable contributions to patient care as an expert in clinical and anatomic orthopaedics as attested to by colleagues and peers.

(2) Development of regional reputation for excellence in clinical practice as attested to by faculty and colleagues qualified in the field and quality assurance audits within the department.

(3) Evaluations of satisfactory or above by chairperson and peer review

(4) RVU generation in relationship to benchmark effort

e) Instruction:

(1) Proven excellence as a teacher and practitioner of musculoskeletal/orthopaedic disciplines as demonstrated by evaluations by trainees working with the faculty member in a clinical teaching setting.

(2) Evaluations of satisfactory or above by chairperson and peer review

(3) Factors considered should include the following where appropriate:

(a) teaching load

(b) development of new courses

(c) development of syllabus material

(d) student sponsorship

(e) resident training

- (f) courses taken to improve teaching effectiveness
- (g) student evaluations

f) Research (Scholarly Activities):

- (1) evidence of establishment/continuation of research/scholarly program with documentation of scholarly activities such as publications, clinical studies, multi-centered trials, or funded projects and publications in peer review journals
- (2) continuing presentation of research at regional, national and international scientific meetings
- (3) Evidence of substantial professional academic status and leadership on a regional level or national level
- (4) Continuous extramural funding of research activities is expected

Professional Development:

- (5) Demonstrated continuing professional development in discipline as evidenced by an active role in relevant professional and academic societies.

C. Associate to Full Professor Clinical Title Series- (non-tenure eligible)

1. Minimum Requirements

- i. In addition to meeting the criteria for Associate Professor, appointment to the rank of Professor shall require demonstration of continued excellence in achievement and regional as well as national recognition as a leader in administration, patient care, instruction, service, academic and research endeavors
- ii. Exemplary teaching experience at the level of Associate Professor
- iii. Faculty holding the M.D. degree should be board certified in a primary or subspecialty

2. Administration (Non-Clinical Services)

- I. Continuing evidence and peer recognition as administrative and clinical physician at regional levels as attested to by colleagues, mentors or peers.
- ii. Provide significant demonstrable contributions to clinical services and orthopaedic administration in clinical and musculoskeletal research as attested to by faculty and colleagues.
- iii. Continuing evidence of participation in extra-departmental clinical rounds and conferences presenting musculoskeletal/orthopaedic findings and their significance in the care of patient as attested to by colleagues, mentors or peers.
- iv. Continuing evidence of excellence as a clinician role model in the teaching of outside physicians and residents on the administration of care based on musculoskeletal/orthopaedic results as attested to by colleagues, peers and staff.
- v. Service on Departmental, College of Medicine and/or Hospital committees as assigned.

3. Clinical Service (Direct Patient Care):

- a. Provide significant demonstrable contributions to patient care as an expert in clinical and anatomic orthopaedics as attested to by colleagues and peers.
- b. Development of regional reputation for excellence in clinical practice as attested to by faculty and colleagues qualified in the field and quality assurance audits within the department.
- c. Evaluations of satisfactory or above by chairperson and peer review
- d. RVU generation in relationship to benchmark effort

4. Instruction:

- a. Proven excellence as a teacher and practitioner of musculoskeletal/orthopaedic disciplines as demonstrated by evaluations by trainees working with the faculty member in a clinical teaching setting.
- b. Evaluations of satisfactory or above by chairperson and peer review
- c. Factors considered should include the following where appropriate:
 - i. teaching load
 - ii. development of new courses
 - iii. development of syllabus material
 - iv. student sponsorship
 - v. resident training
 - vi. courses taken to improve teaching effectiveness
 - vii. student evaluations

g) Research (Scholarly Activities):

- (1) evidence of establishment/continuation of research/scholarly program with documentation of scholarly activities such as publications, clinical studies, multi-centered trials, or funded projects and publications in peer review journals
- (2) continuing presentation of research at regional, national and international scientific meetings
- (3) Evidence of substantial professional academic status and leadership on a regional level or national level
- (4) Continuous extramural funding of research activities is expected

Professional Development:

- (5) Demonstrated continuing professional development in discipline as evidenced by an active role in relevant professional and academic societies.

Tenure Track Title Series (Regular and Special Title Series)

5. Assistant to Associate Professor

- 1. In addition to meeting the criteria for Assistant Professor, appointment or promotion to the rank of Associate Professor shall require demonstration of continued achievement and

regional or national recognition as a leader in administration, patient care, teaching, service, academic, and research endeavors.

2. Administration:
 - a. Continuing evidence and peer recognition as administrative and clinical physician at regional or national levels as attested to by colleagues, mentors or peers.
 - b. Provide significant demonstrable contributions to clinical services and administration in musculoskeletal/orthopaedic disciplines as attested to by faculty and colleagues.
 - c. Continuing evidence of participation in outside clinical department rounds and conferences presenting musculoskeletal/orthopaedic findings and their significance in the care of patient as attested to by colleagues, mentors or peers.
 - d. Continuing evidence of excellence as a clinician role model in the teaching of outside physicians and residents on the administration of care based on musculoskeletal/orthopaedic results as attested to by colleagues, peers and staff.
 - e. Service on Departmental, College of Medicine and/or Hospital committees as assigned.
3. Service (Direct Patient Care):
 - a. Provide significant demonstrable contributions to patient care as an expert in musculoskeletal/orthopaedic disciplines as attested to by colleagues and peers.
 - b. Development of regional or national reputation for excellence in clinical practice as attested to by faculty and colleagues qualified in the field and quality assurance audits within the department.
 - c. RVU generation in relationship to benchmark effort
4. Instruction:
 - a. Proven excellence as a teacher and practitioner in musculoskeletal and /orthopaedic applications as demonstrated by evaluations by trainees working with the faculty member in a clinical teaching setting.
 - b. Demonstrated excellence in teaching and outstanding abilities to communicate with students, faculty and administrators.
 - c. Evaluations of satisfactory or above by chairperson and peer review
 - d. Factors considered should include the following where appropriate:
 - i. teaching load
 - ii. development of new courses
 - iii. development of syllabus material
 - iv. student sponsorship
 - v. resident training

- vi. courses taken to improve teaching effectiveness
- vii. student evaluations

- 5. Research (Scholarly Activities):
 - a. Documentation of productive involvement or participation in scholarly activities such as publications, clinical studies, multi-centered trials, or funded projects.
 - b. Evidence of substantial professional academic status and leadership on a regional or national level.
 - c. Educational excellence shall be recognized at the regional and perhaps national level, as exhibited by scholarly activities through original or innovative publications, studies, reviews or other venues in area of specialty as attested to by colleagues, mentors or peers.
 - d. Continuous extramural funding of research activities is expected.
- 6. Professional Development:
 - a. Demonstrated continuing professional development in anatomic orthopaedics as evidenced by an active role in relevant professional and academic societies.
 - b. Evidence of established and recognized reputation in the specialty area by participation in professional scientific organizations on a regional and perhaps national basis.

6. Associate Professor to Full Professor (Tenured)

- i. In addition to meeting the criteria for Associate Professor, appointment to or promotion to the rank of Professor shall require demonstration of continued excellence in achievement and regional as well as national recognition as a leader in administration, patient care, instruction, service, academic and research endeavors.
- ii. Minimum requirements:
 - 1. Exemplary teaching experience at level of Associate Professor
 - 2. Faculty holding the M.D. degree should be Board certified in a primary or subspecialty

2. Administration:

- i. Continuing evidence of excellence and peer recognition as administrative and clinical physician at national or international levels as attested to by colleagues, mentors or peers.
- ii. Provide significant demonstrable contributions to clinical services in musculoskeletal/orthopaedics as attested to by faculty and colleagues.

- iii. Continuing evidence of participation in outside clinical department rounds and conferences presenting musculoskeletal/orthopaedic findings and their significance in the care of patient as attested to by colleagues, mentors or peers.
- iv. Continuing evidence of excellence as a clinician role model in the teaching of outside physicians and residents on the administration of care based on musculoskeletal/orthopaedic results as attested to by colleagues, peers and staff.
- v. Service on Departmental, College of Medicine and/or Hospital committees as assigned.

3. Clinical Service (Direct Patient Care):

- i. Provide significant demonstrable contributions to patient care as an expert in clinical musculoskeletal care, orthopaedic as attested to by colleagues and peers.
 - a. ii. Development of national or international reputation for excellence in clinical practice as attested to by faculty and colleagues qualified in the field and quality assurance audits within the department.
 - b. iii. RVU generation in relationship to benchmark effort.

4. Instruction:

- c. Proven excellence as a teacher and practitioner of clinical musculoskeletal/orthopaedics disciplines as demonstrated by evaluations by trainees working with the faculty member in a clinical teaching setting.
- d. Demonstrated excellence in teaching and outstanding abilities to communicate with students, faculty and administrators.
- e. Evaluations of excellent or above by chairperson and peer review.
- f. Factors considered should include the following where appropriate:
 - i. teaching load
 - ii. development of new courses
 - iii. development of syllabus material
 - iv. student sponsorship
 - v. resident training
 - vi. courses taken to improve teaching effectiveness
 - vii. student evaluations

5. Research (Scholarly Activities):

- g. Documentation of significant productive involvement or participation in scholarly activities such as publications, clinical studies, multi-centered trials, or funded projects. Evidence of establishment/continuation of research/scholarly program substantiated by publications in at least three peer review journals.
- h. Evidence of substantial professional academic status and leadership on a national or international level.

- i. Educational excellence shall be recognized at the national and perhaps international level, as exhibited by scholarly activities through original or innovative publications, studies, reviews or other venues in area of specialty as attested to by colleagues, mentors or peers.
 - j. Continuous extramural funding of research activities is expected.
6. Professional Development –
- k. Demonstrated continuing professional development in clinical musculoskeletal care/orthopaedics as evidenced by a significant and active role in relevant professional and academic societies.
 - l. Evidence of established and recognized reputation in the specialty area by participation in professional scientific organizations on a national and perhaps international level.

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Provost Approval Date: