

Guidelines for Appointment, Promotion and Tenure

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I. Overview of Appointment, Evaluation, and Promotion Processes

Criteria for appointment and promotion in the Department of Foundational Sciences and Humanities are consistent with the guidelines published in the University Faculty By-Laws, Chapter 5, Section 5:1, as ratified by the Faculty Senate and approved by the RFUMS Board of Trustees.

The purpose of these Guidelines is to ensure open and equitable treatment of individuals eligible for appointment, promotion or tenure as faculty members of the Department of Foundational Sciences & Humanities. Once hired, every faculty member will receive a copy of this policy statement. Those who are ineligible for tenure (e.g., on Clinical Educator, Research, or Adjunct Tracks) will be so informed before they are hired.

The three criteria for appointment and promotion to any rank (including tenure) are Research (Scholarship), Teaching and Service. These criteria are assessed based on candidates' accomplishments, letters of recommendation, and (in the case of promotion) annual performance evaluations. For all criteria, it is important to recognize that the *quality* of achievement is equally important as the *quantity*, whether the measure is publications, lectures, committee service, etc., and should be so documented. Interprofessional contributions are recognized in all three areas. The scope of activities in each category includes:

Research (Scholarship). This category includes basic science, clinical, educational, translational, theoretical, or applied research, and may be based upon the following criteria: obtaining and maintaining grant support for active research including grants for training research personnel; peer-reviewed publications; non-peer reviewed publications; presenting at local, national and international meetings; organizing and/or chairing scientific sessions or conferences; invited seminars or grand rounds related to scholarly activities; and all other scholarly activities deemed relevant by the candidate and sponsor(s).

Teaching. High-quality teaching is expected at all levels. Both the quantity and quality of teaching should be commensurate with rank and departmental needs. With regard to promotion and tenure, teaching and leading courses in any of the colleges that make up the University are valued as equal merit, consistent with the multiple teaching missions of the department. Teaching quality is evaluated in several ways, including but not limited to: 1) roles in teaching innovation, course design, organization, and creating

assessments, 2) development of teaching materials, 3) educational scholarly activities, 4) student success on national standardized tests, and 5) direct observation by peers, and 6) student evaluations.

Service. This category includes departmental, CMS, and university committees, and participation in programs that contribute to the department and university functions and accreditation. Equally important is service on grant review panels, as editors or reviewers for scientific journals or other publications, and to professional societies or other organizations outside of RFUMS that elevates the university's local or national reputation.

Candidates under consideration for promotion must show meaningful contribution in all three areas, though not necessarily in equal weight; the relative importance of each category will vary depending on the candidate's specific duties and responsibilities. Regardless of the balance between Research, Teaching, and Service, promotion requires that a candidate's scholarly activities provide compelling evidence for future creative contribution. For considerations of tenure, research/scholarship achievements will be given greatest weight.

II. Annual Performance Review and Process for Initiating Promotion

Once hired, faculty undergo annual review in the areas of Research/Scholarship, Teaching, and Service by their direct supervisor(s), usually the Discipline Chair and/or Center Director. Accomplishments appropriate to rank in all three categories are expected, but it is the sum total of performance that is paramount, and does not require equal weighting amongst the categories. The review process also requires that the faculty member sets goals for the upcoming academic year that are agreed upon by their direct supervisor(s), usually the Discipline Chair and/or Center Director, and includes an evaluation of achievements toward the written goals of the concluding academic year. A faculty member's goals may include promotion or tenure, in which case, the annual performance evaluation should be utilized for open discussion of the specific achievements that the direct supervisor(s), usually the Discipline Chair and/or Center Director, will expect the faculty member to achieve for nomination for promotion.

Though not required, it is recommended that the direct supervisor(s), usually the Discipline Chair and/or Center Director, seek the counsel of other senior faculty members in the Discipline and Center regarding the promotion eligibility of a more junior member. After due consideration of these colleagues' assessment, the direct supervisor(s), usually the Discipline Chair and/or Center Director, will decide whether to proceed with a formal request for promotion and/or tenure, and if so, develop a recommendation with the Executive Chair to be forwarded to the CMS Dean for further action.

Per the RFU Policy for Faculty Evaluation, any faculty member who is not making adequate progress according to this review process will be so informed by the direct supervisor(s), usually the Discipline Chair and/or Center Director, so that they have

ample opportunity to rectify any deficiencies. Should further action be required, recommendations will be forwarded to the Executive Chair and the CMS Dean.

III. Faculty Tracks

The criteria for hiring and expectations for promotion differ substantially between tracks, as detailed below. Regardless of track, these guidelines provide examples, but not explicit expectations about the number and types of achievements that may be considered as evidence of accomplishment in each category.

Note that the number of letters of recommendation referred to below does not include the joint letter from the Discipline and Executive Chair.

A. Tenure-track

1. Guidelines for appointment to the rank of Assistant Professor

The academic record and training of candidates for appointment to Assistant Professor should provide reasonable assurance that the candidate can perform assigned duties while simultaneously developing a program of independent research that will lead to a productive and creative career. Appointment to this rank requires a minimum of 3 letters of reference from recognized investigators with full-time appointments outside the University at the rank of Assistant Professor or higher.

2. Examples fulfilling guidelines for appointment or promotion to the rank of Associate Professor (Examples are listed but not limited to the following:)

a. Research

- i. The demonstration of active scholarship by the publication of research in a minimum of 10 refereed academic journals and by the publication of books, chapters, or review articles in non-refereed journals.
- ii. Evidence of the ability to obtain financial support for a program of research.
- iii. Invitations to speak at local and national meetings and at other academic institutions.
- iv. Evidence of scholarly accomplishments based on evaluations obtained from peers on a national basis.
- v. Membership in scientific and/or professional societies.

b. Teaching

- i. Ability to foster students' scholarship.
- ii. Preparation and presentation of content in a well-organized, up-to-date, and intellectually stimulating fashion as judged by senior faculty members, and by the evaluation and achievements of RFUMS students.
- iii. Contributions to the design, organization and/or presentation of a course, academic program or subdivision thereof.

- iv. Contribution to the construction and implementation of high-quality student assessments.
- v. Ability to evaluate and counsel medical and graduate students.
- vi. Appropriate participation in postgraduate educational activities.

c. Service

- i. Participation in local and national symposia, seminars and courses.
- ii. External reviewer for academic or scientific journals.
- iii. Meaningful contributions to the operation, development and improvement of the Department, Medical School, and/or University.
- iv. Effective participation in local or national professional societies.
- v. Participation in academically-oriented lay and community activities.
- vi. Effective participation on the committees of the Department/Discipline, the Medical School and/or the University.
- vii. Participation in academic governance as a member of the University Senate or Academic Assembly.
- viii. Active participation in intramural seminars and journal clubs.

Appointment to this rank requires a minimum of 3 letters of recommendation from established leaders in the candidate's field of research/scholarship holding full-time appointments outside the University at the academic rank of Associate Professor or higher.

3. Examples fulfilling guidelines for appointment or promotion to the rank of Professor

a. Research

- i. Originality, independence, leadership, and evidence for future productivity in investigative or scholarly activity.
- ii. Recognizable objectives or an underlying theme of the scholarly program.
- iii. A minimum of 20 published articles in leading refereed journals.
- iv. Authorship of scholarly review articles, chapters and/or books.
- v. Publications demonstrating innovative concepts or novel solutions to biomedical problems.
- vi. Evidence of scientific or scholarly accomplishment based on evaluations from peers on a national and international basis.
- vii. Evidence of continuing research funding and one's role in securing it.
- viii. Election as an officer of scientific and/or professional societies.
- ix. Invited speaker for symposia at national and international scientific or professional meetings.
- x. Evidence relating to the frequency and longevity of citations of the candidate's publications by others in the field.
- xi. Participation in inter-institutional collaborative research with individuals recognized to be leaders in the field.
- xii. Other evidence of national or international reputation such as awards and honors for scientific merit or scholarly achievement.
- xiii. Granting of patents for inventions that have scholarly merit or societal benefit.

b. Teaching

- i. Effective mentoring and research supervision of students and postdoctoral fellows.
- ii. Preparation and presentation of course material in a well-organized, current, and intellectually stimulating fashion as judged by senior faculty members and by the evaluation and achievements of RFUMS students.
- iii. Leadership in the design, organization and/or delivery of a course, academic program or curricular revision.
- iv. Contribution to high-quality assessment and mentoring of students.
- v. Organization of and participation in postgraduate educational activities.
- vi. Accomplishments related to teaching improvement or training programs.
- vii. Other evidence of teaching and advising effectiveness.

c. Service

- i. Editor or editorial board member of scientific or professional journals.
- ii. Participation in advisory committees to the government or foundations.
- iii. Evidence of leadership or other substantial contribution to the programmatic needs of the Department and School.
- iv. Organizer or contributor to local and national symposia, seminars and courses.
- v. Participation as an officer or committee member of local and national professional societies.
- vi. Effective leadership or comparable contribution on committees of the Department, the Medical School and/or the University. Contributing to academic governance as a member of the University Senate or officer of the Academic Assembly.
- vii. Participation in academically-oriented lay and community activities.

Appointment to this rank requires a minimum of 5 letters of recommendation documenting strong support from established leaders in the candidate's field of research who hold full-time appointments outside the University at the academic rank of Full Professor.

4. Examples fulfilling guidelines for recommendation for Tenure

a. Research

- i. Evidence of significant research accomplishments, as evidenced by the quantity and especially quality of research publications in established, high quality journals, or by the publication of significant and well-received works of scholarship, such as textbooks.
- ii. Demonstration of consistent independent research support from federal agencies or established national foundations.
- iii. Potential for continued excellence in research throughout candidate's career.
- iv. Invitations to contribute review articles in one's field for publication in a journal, book chapter, or scientific series.
- v. Invitations to speak at national and/or international conferences or symposia.

- vi. Participation in national/international research meetings as an organizer of symposia or workshops.
- vii. Granting of patents for inventions that have scholarly merit or societal benefit.

b. Teaching

- i. Major and effective contribution to content delivery and assessment for courses offered by the University (for example, assumption of course director role or participation in more than one major course).
- ii. Successful mentoring and research supervision of graduate and postdoctoral students.
- iii. Evidence of effective innovation in teaching, as shown by new courses or new approaches to current courses.
- iv. Participation in departmental or interdepartmental journal clubs, seminars and symposia.
- v. Evidence of a leadership role in the educational missions of the Department, School and University.
- vi. Demonstrated ability to foster student scholarship.
- vii. Other evidence of teaching and advising effectiveness.

c. Service

- i. Effective contributions to Departmental, Medical School and/or University committees or faculty governance (Faculty Senate, Academic Assembly) as a member, officer, or chairperson.
- ii. Participation in advisory committees for the government or foundations.
- iii. Service on study sections/review panels of granting agencies as an ad hoc or regular member.
- iv. External reviewer for academic or scientific journals and publications.
- v. Service on editorial boards of journals or as editor for a book or a scientific series.
- vi. Election as an officer of scientific and/or professional societies.

A minimum of 5 letters documenting strong support must be provided from established leaders in the candidate's field who hold full-time appointments outside the University, at least 3 of whom are at or above the proposed rank.

B. Clinical Educator Track

Clinical Educator Track appointments are not eligible for tenure and are expected to be fulfilled through predominant commitment to CMS educational programs, curriculum management, and CMS student mentoring.

Instructor, Clinical Educator Track. The primary criteria for appointment to the rank of Instructor are good academic training, prior teaching experience, and at least one letter of support from an internal or external faculty member at the rank of instructor or higher.

Assistant Professor, Clinical Educator Track. The primary criteria for appointment or promotion to the rank of Clinical Education Assistant Professor are good academic training including at least two years of post-doctoral research or teaching experience and a minimum of 2 letters of recommendation from recognized internal or external faculty members at the level of assistant professor or higher. The candidate must have the potential to take on a leadership role in a major course or academic program.

Associate Professor, Clinical Educator Track. The primary criteria for appointment or promotion to the rank of Clinical Education Associate Professor are a sustained record of high-quality teaching and leadership of a major course or academic program, plus service on committees related to curriculum or student affairs. The candidate must have published in peer-reviewed journals and have the potential to contribute new scholarship in education or biomedicine. A minimum of 3 letters of support from faculty at the rank of associate professor, professor or the equivalent are required, at least 2 of which must be provided from recognized leaders in the candidate's discipline from comparable institutions outside the University.

Professor, Clinical Educator Track. The primary criteria for appointment or promotion to the rank of Clinical Education Professor are a sustained record of excellence in teaching and educational leadership, curriculum leadership, accreditation, and/or student affairs committees, plus at least 5 publications in peer-reviewed journals related to education or the candidate's biomedical discipline. A minimum of 3 letters of recommendation are required from faculty at the academic rank of full professor or equivalent, at least 2 of which come from established leaders in the candidate's discipline who hold full-time appointments at comparable institutions outside the University.

C. Research Track

Research track appointments are not eligible for tenure and are expected to be fulfilled through predominant commitment to CMS research programs.

Research Assistant Professor. The primary criteria for appointment to the rank of Research Assistant Professor are a superior record of training and promise for an exemplary role in research, publications in peer-reviewed academic journals and a minimum of 2 letters of support from recognized investigators at the rank of assistant professor higher.

Research Associate Professor. The primary criteria for appointment or promotion to the rank of Research Associate Professor are substantial academic productivity as evidenced by independent research/scholarship with at least 10 research publications in high quality, peer-reviewed journals and evidence of independent external research funding. A minimum of 3 letters of support must be provided from recognized leaders in the candidate's field of research at the rank of associate professor or higher, 2 of whom hold full-time appointment at comparable institutions outside of the University.

Research Professor. The primary criteria for appointment or promotion to the rank of Research Professor are national recognition for excellence in research, as evidenced by a sustained record of external research funding as Principal Investigator and at least 20 publications in high quality, peer-reviewed journals that demonstrate sustained research contributions. A minimum of 3 letters of recommendation are required from full professors or the equivalent in the candidate's field of research, at least 2 of whom hold full-time appointment at comparable institutions outside the University.

D. Adjunct Track

The appointment of adjunct faculty recognizes qualified individuals who have limited educational or scholarship contributions to CMS. Appointment is made at a rank commensurate with the standards indicated above, and will be prefaced by "Adjunct." Such appointments are not honorary and are expected to be fulfilled by commitments to the Department's educational and/or research programs. Adjunct faculty appointments are not permanent and are subject to periodic review.

IV. Adoption and Revision

Approved in present form by the Discipline Chairs of the Foundational Sciences and Humanities Dept. of Chicago Medical School on January 11, 2022.