

PROMOTION AND TENURE
PROCESS AND PROCEDURES FOR NOMINATING **FULL TIME FACULTY**
FOR PROMOTION TO ASSOCIATE PROFESSOR AND PROFESSOR
AND AWARD OF TENURE

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I. Timeline

The process of promotion to associate professor and professor, and/or the award of tenure, begins in the spring of 2008 for promotion and/or tenure that is to be effective July 1, 2009.

Spring 2008: Department/system committees on appointments, promotion and tenure (CAPT's) review their candidates.

May 31, 2008: Department recommendations for promotion and tenure, with all materials, are due in the faculty affairs office. Of particular importance are **complete referee lists, with email and street mail addresses, and external referee' NIH data sheets or complete CVs).**

June 2008: The Faculty Affairs Office reviews materials and confirms receipt with department chairs

June – August, 2008: The Faculty affairs office solicits letters of reference and receives replies.

September - November 2008: The School of Medicine Committee on Appointments, Promotions, and Tenure reviews candidates' files.

October - December 2008: Faculty Council Steering Committee reviews the faculty CAPT recommendations for matters of equity.

November - December 2008: The dean reviews each candidate's materials, adds her recommendation, and forwards the materials and recommendation to the provost.

January – March 2009: For faculty in the tenure track, the provost convenes the President's Advisory Committee for additional review. No advisory panel reviews faculty nominated in the non-tenure track. The provost finalizes his or her recommendation and forwards the files to the president for her review.

Spring 2009: The president presents final recommendations to the university board of trustees. The board takes formal action on the nominations.

July 1, 2009: The promotions and awards of tenure approved by the board become effective.

II. Review by the Department, MetroHealth, or CCLCM CAPT

The department, MetroHealth, or Cleveland Clinic Lerner College of Medicine Committee on Appointments, Promotions, and Tenure shall review promotion and tenure candidates. The committee chair shall forward **ALL** (positive and negative) department committee promotion and tenure recommendations to the faculty affairs office.

The committee should review, at a minimum, the candidate's current CV, recent annual faculty activity summary forms, teaching evaluations, and any other materials it considers relevant. It may invite the candidate's division director or research mentor, as appropriate and if applicable, to appear before the committee to advocate on behalf of the candidate, to answer the committee's questions, etc.

The medical school's CAPT, the dean, the provost, and the president will review all *affirmative* department committee recommendations. Such full higher review will also be accorded to: (a) negative department committee recommendations on mandatory tenure (*i.e.*, where the candidate is in his/her final pretenure year or was not awarded tenure following an earlier affirmative recommendation from his/her department committee), and (b) all negative department committee recommendations on candidate-initiated requests for promotion to professor.

Department CAPT Report: The department CAPT written report should reflect the committee's discussion, pro and con, and include a numerical vote on the nomination(s). A sample of such a report appears at page X. The report must be signed by the committee chair, must include the date of the committee meeting, and must take care to be explicit regarding each candidate's status as either 1) on the tenure track, 2) tenured, or 3) on the non-tenure track.

Voting: Members of the committee are eligible to vote on appointments and promotions only to ranks that are equal to or below their own. That is, associate professors may not vote on promotions to the rank of professor and assistant professors may not vote on promotions to the rank of associate professor or professor. Only committee members who are tenured may vote on a proposed award of tenure. If an individual is a candidate for both promotion and award of tenure, separate votes must be taken on each. All members of the committee, regardless of rank or tenure status, however, may participate in discussion regarding all candidates. Voting should be by secret ballot. An affirmative recommendation requires a majority vote, *i.e.*, an evenly split committee vote is not affirmative.

Confidentiality and notification: Committee deliberations and votes are confidential and must not be discussed outside the committee with anyone, especially the candidates. The department chair, however, should communicate the result of the vote promptly to the candidate and, while preserving the confidentiality of individual committee members' votes, counsel the candidate on the basis of any substantive remarks made by the committee.

III. Application materials to be forwarded to the faculty affairs office

The department chair (as assisted by the department administrator assigned to the task) is responsible for providing full and detailed information on the candidate's activities to the faculty affairs office so that it can be provided to the School of Medicine CAPT. Incomplete dossiers are potentially detrimental to the candidate.

All materials are to be provided both on disk and in hard copy. Please use a separate disk for each candidate.

A. Current CV, dated, following the format adopted by the faculty (see page 10). Research support should be listed in the CV and include identifying NIH grant number(s), if any, or may be listed separately as an addendum to the CV.

B. Self-description. Candidates are required to provide a narrative professional self-description (two pages or less) in which they highlight their major accomplishments in the areas of research, teaching, and service and comment on relevant matters not discernible from the CV (e.g., specific role within a research team; research theme in grants/articles not easily recognized by those without intimate knowledge of the field; importance to the department/school/hospital of teaching or service activity, etc.).

C. The department CAPT review. See above.

D. Chair's nominating letter. The nominating letter represents the chair's opportunity to advocate on behalf of the candidate. Along with the candidate's CV and external letters of reference, the nominating letter is of the most critical importance. A chair hoping to strongly advocate for a candidate should explain the candidate's past, current, and future role in the department or school, how the candidate helps fulfill departmental or institutional goals, and what curricular, research, or clinical directions the candidate is pursuing. The chair's nominating letter must be dated and signed by its author.

Candidates in the **tenure track** are, by definition, primarily engaged in research activity. The department CAPT and medical school CAPT should focus their reviews primarily on this aspect of the candidate's record.

For candidates in the **non-tenure track**, **the nominating letter must make clear whether the candidate's primary area of strength is 1) teaching; 2) research; or 3) clinical service.** The current promotion standards require the candidate to achieve excellence in a primary area of activity and make acceptable contributions in at least one other area.

If applicable, the candidate's hospital director, division chief, and the chair of a department where the candidate holds secondary appointment should provide assessments of the candidate's qualifications for promotion and/or the award of tenure. It is the responsibility of the primary department chair to obtain such letters.

E. List of external referees. The letters received from external referees are of paramount importance in assessing the candidate's credentials, especially if 1) the candidate's primary activity/strength is research; or 2) regardless of primary activity/strength if a promotion to professor is proposed. External referees should be carefully selected in order to provide an objective, detailed assessment of the candidate's work and scholarly contributions. **External referees are those who are at "arm's length" from the candidate, those who have not been involved with the candidate's training, have not been collaborators or mentors, and are not currently based at CWRU or an affiliated hospital.**

The provost will consider a referee to be external if she is someone with whom the candidate has not had a working relationship as a colleague or collaborator over the past 5 years or as a trainee or student over the past 10 years. While such a reviewer will count as external, the candidate and chair should weigh the lesser value CWRU reviewers might place on a letter from a former colleague in comparison to a letter from a referee who has always been at arms length.

To meet the Provost's requirement that external referees be identified by more than one person, we ask that the candidate select one-half of the external referees and the chair select the other half. The list of external referees provided to the faculty affairs office should indicate whether the candidate or the chair named that particular candidate; we will compare the lists for duplication. The specific numbers of external and other types of referees required are indicated below.

The selection of external referees should be made with the requirements for the candidate's recognition in mind. Tenure track candidates must demonstrate national or international recognition for their research accomplishments. Non-tenure track candidates for promotion to associate professor must provide evidence of recognition at least at the regional level if their primary strength is teaching or clinical service and at the national level if their primary strength is in research. All candidates for promotion to professor in the non-tenure track must provide evidence of recognition at the national or international level.

The Provost's office requires that a biographical sketch be provided for each external referee. Please note that only an NIH data sheet or the referee's CV will be accepted.

The faculty affairs office will solicit all letters of reference after reviewing the referee lists and materials submitted. Letters of reference will be returned directly to the faculty affairs office.

For promotion to professor with tenure or in the tenure track:

8 referees selected by the candidate

8 referees selected by the chair.

For promotion to associate professor in the tenure track and/or award of tenure, and for promotion to associate professor in the non-tenure track for faculty whose primary focus is research:

7 referees selected by the candidate
7 referees selected by the chair.

For promotion to professor and associate professor in the non-tenure track for faculty whose primary focus is teaching or clinical service:

For professor:

8 referees (all or most external preferred) selected by the candidate
8 referees (all or most external preferred) selected by the chair

For associate professor:

6 referees (all or most external preferred) selected by the candidate
6 referees (all or most external preferred) selected by the chair

Teaching or clinical service activity at the regional or national level should be well documented by external referees to the extent possible.

Because it is essential that the CAPT be able to assess the independence of a candidate's scholarly efforts, letters in support of faculty extensively involved in collaborative research, such as center and program projects, should delineate specifically the candidate's role and contributions.

Along with the other materials, these should be provided no later than May 30, 2008.

The Faculty Affairs Office will solicit letters of reference from external referees. The department (not the candidate) should solicit biosketches for each external referee in the form of an NIH biosketch or CV.

F. Letters from collaborators/mentors/colleagues: The names of 4 of the candidate's colleagues or collaborators should be selected by the candidate in consultation with his/her department chair. Letters from colleagues or collaborators are often useful for clarification of the candidate's role in collaborative research projects or other cooperative efforts, particularly if it is not clear from the CV. Such letters may **not** substitute for letters from external referees (except in the case of non-tenure track candidates primarily engaged in teaching or clinical service). The Faculty Affairs Office will solicit these letters of reference.

G. Faculty teaching referees: The chair and candidate will provide names of a maximum of 4 faculty colleagues who are able to comment on the quality and quantity of the candidate's teaching activities. These evaluators might include curriculum coordinators, course directors, clerkship directors and residency directors, i.e., colleagues who have knowledge of the candidate's teaching through supervising or observing the candidate's teaching or experiencing the results of the candidate's teaching through contact with the candidate's former trainees.. The Faculty Affairs Office will solicit letters of reference from faculty teaching referees

H. Student and Trainee referees (current or former): The department will provide names, street addresses, and email addresses for a maximum of 10 students,

graduate students, residents and/or post-doctoral fellows. For candidates who teach residents, chief residents for the past three years should be asked to comment in addition to the maximum of 10 mentioned above. The Faculty Affairs Office will solicit letters of reference from teaching referees.

I. Service Referees: The department may provide names, street addresses, and email addresses for a maximum of up to 4 referees who can speak to the candidate's role in providing institutional or professional service. Such letters are optional. Where solicited, we will ask service referees to provide a description of the activities involved, the effectiveness of service relative to others who have performed similar duties, the amount of time devoted to service on a regular basis, the number of years served, whether the candidate's selection for participation in the service activity was the result of a competitive selection process, and whether this type of service might be considered especially time-consuming, difficult, or demanding. The Faculty Affairs Office will solicit letters of reference from service referees if the department chooses to provide referee names and email addresses for this purpose.

J. Teaching evaluations collected by the department. All current and past formal student course evaluations that are available should be provided. Formal evaluations are a particularly important resource for the CAPT's review and are often found to be much more persuasive than letters from former students and others.

K. Updating materials. Candidates are urged to provide the faculty affairs office with relevant updated information (*e.g.*, acceptance of submitted publications, awards of grants, *etc.*) throughout the process so that it can be added to the file to support the candidate's nomination.

IV. Teaching Portfolio

The promotion standards adopted by the faculty in 2006 required, under the heading of teaching, that "all candidates should present a commonly organized teaching portfolio to enable better evaluation of the quantity and quality of their teaching contributions."

Promotion candidates in the non-tenure track with teaching (rather than research or clinical service) as their primary area of excellence for promotion, are required to use the following outline for preparing materials for review. The portfolio should be provided to the faculty affairs office no later than August 1, 2008.

Tenure track candidates and non-tenure track candidates with primary strength in research or clinical service may but are not required to submit a Teaching Portfolio.

I. Philosophy of Teaching/Personal Development

Please submit a narrative essay of no more than two pages to answer the following questions:

- Under what conditions do you think students learn best?
- How does the answer to the previous question influence your teaching strategies?
- What teaching choices have you made on that basis?

The CAPT may read your essay to assess the extent to which your teaching is self-reflective, self-critical, and scholarly.

II. A Teaching Inventory.

Please provide an inventory of all your contributions to education since appointment to the Case faculty, and optionally during prior years (esp. CCLCM faculty), organized by level and learners in the manner listed below:

- Local
 - Medical students
 - Graduate students
 - residents and fellows
 - continuing medical education
 - others
- Regional
- National/International

Please remember that our promotion standards define teaching very broadly.

These settings may include medical student teaching in lectures, subject committees, small group conferences, clinical science programs, elective programs, family clinic, core and optional clerkships, and ambulatory medicine, as well as undergraduate and graduate courses in the basic science departments and in other schools of the university; graduate medical and postgraduate medical teaching; serving as a student advisor or counselor, and continuing medical education and community teaching.

III. Important Teaching Contributions

Please describe your Most Important Teaching Contribution under each of the following headings. If you have not made a significant contribution under all of them, please include a Most Important Teaching Contribution for all the areas to which you have contributed. You may also submit any materials you have created or utilized that illustrate the contribution.

- curriculum development
- teaching materials development
- teaching administrative leadership
- participation in the community of educators (workshops, publications, demonstrations, etc.)

IV. Evaluations and Awards

Please present evidence, either quantitative or qualitative in nature, that would lead evaluators to conclude that your teaching has been effective. You may also include a description of any plans to make your teaching more effective in the future.

V. FORMAT FOR CURRICULUM VITAE AND BIBLIOGRAPHY

Following is the recommended format for a curriculum vitae and bibliography at Case Western Reserve University School of Medicine. All faculty should maintain a well-organized, up-to-date curriculum vitae and bibliography.

1. Personal data: name; address; education with dates, places, and types of degrees; postgraduate training with dates and places.
2. Professional appointments: dates, names of departments and institutions, and the rank of the appointment.
3. Licensure and board certification when appropriate.
4. Membership in professional societies.
5. Honors and awards.
6. Professional service: service on study sections, editorial boards, professional societies, advisory groups, etc.
7. Service on medical school, hospital or university committees, including the names of the committees and dates of service.
8. Past and present teaching activities: teaching of medical, graduate, postgraduate and undergraduate students and house officers, as well as teaching in undergraduate and other professional schools of the university. The documentation should cover the frequency of the contributions, the number of actual contact hours and additional input such as planning, evaluation and coordination. A listing of former graduate students and their present status would also be a helpful addition. The completed Teaching and Clinical Service Activities Form may substitute for this section of the curriculum vitae for the purposes of the promotions committee. It is the responsibility of each faculty member to maintain a current listing of all teaching contributions.
9. Past and present research support: this list should include the granting agency, duration of the grant, title, the principal investigator, the percent effort of the nominee, and the total direct costs awarded. Applications pending review should be included. If desired, research support may be listed separately as an addendum to the curriculum vitae.
10. Bibliography: references should include the names of all authors, titles of articles, and inclusive pages. Peer-reviewed articles, other articles, abstracts, presentations, chapters, and books should be listed separately, as should articles that have been submitted or are in preparation.

VI. CHECKLIST OF MATERIALS FOR FACULTY PROMOTION 2008-2009

Candidate: _____

Department: _____

Proposed for promotion to: _____

- tenure track
- non-tenure track; research, teaching, clinical service (circle the one representing the candidate's primary area of excellence)
- Tenure Award

Department contact name, telephone extension, and email address: _____ -

A COMPLETE PROMOTION PACKET CONTAINS:

- Nomination letter by the chair, addressed to Dean Davis
- If applicable, nominating letter(s) from chair(s) of department(s) where the candidate holds secondary appointment(s), hospital division chief
- Teaching evaluations collected by the department, i.e., all (not a selection of) current and past formal student course evaluations,
- Signed and dated report from the department promotions committee that lists the numeric vote. Report separate votes on nominations for promotion and for tenure
- Curriculum vitae, including bibliography and listing of past and present research support. The CV must be dated and must show dates of faculty appointments.
- Professional self-description, maximum length 2 pages; may be affixed to the CV.
- Teaching Portfolio (required if candidate is in non-tenure track with greatest strength in teaching)
- Candidate's key reprints, a maximum of **FIVE** reprints
- Referee lists with complete street and **email** addresses.
 - External referees – selected by department chair
 - External referees – selected by the candidate
 - Collaborators, former mentors and colleagues suggested by chair and candidate
 - Faculty teaching referees suggested by candidate
 - List of students, graduate students, residents, and post-doctoral trainees who can be asked to write evaluations suggested by candidate
 - Chief residents from previous three years, if candidate teaches residents (provided by the department chair).
 - Service referees: selected by department chair and candidate

Promotions and Tenure Procedures 2008-2009

Other (list)