

# **FACULTY APPOINTMENTS, PROMOTIONS AND TENURE PROCEDURES MANUAL**

**All materials regarding faculty appointments, promotions and tenure must be submitted to:**

**Office of Faculty Affairs and Human Resources  
Room W171, School of Medicine  
Case Western Reserve University  
Fax 216-368-3013**

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All forms described herein can be found on the School of Medicine Office of Faculty Affairs and Human Resources website: <http://casemed.case.edu/facultyaffairs/>

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## **Faculty Appointments-Overview**

Case Western Reserve University School of Medicine uses five full-time faculty titles - senior level: Professor and Associate Professor; junior level: Assistant Professor, Senior Instructor and Instructor. The faculty handbook ([www.case.edu/president/facsen/frames/handbook.htm](http://www.case.edu/president/facsen/frames/handbook.htm)) states “Eligibility for consideration for appointment or reappointment to the full-time faculty must include both of the following qualifications and is subject to approval by the dean: a. fifty percent or more time must be devoted to approved academic activities; and b. the academic activity must be conducted at an approved site.” (chapter 3, B.2) Full-time faculty may or may not receive a paycheck from Case Western Reserve, and if they do receive one, are Benelect eligible if that paycheck is fifty percent or more of their professional compensation.

The School of Medicine (SOM) has a two-track appointment system for full-time faculty: 1) tenure and tenure track (appointments with tenure or leading to tenure consideration) and 2) non-tenure track (appointments not leading to tenure consideration). The expectation is that faculty hired in the tenure track must be primarily devoting the majority of their time to research with teaching and service taking up the remainder. They must be provided the appropriate support for research in terms of space, salary support, etc. Faculty in the non-tenure track may dedicate their time to research and/or teaching and/or professional service, either administrative or clinical, in any proportion. All faculty members are expected to contribute some time to administrative service. A faculty member’s appointment at the rank of Assistant Professor, Associate Professor or Professor must be classified as with tenure, in track (without tenure but leading to tenure consideration), or non-tenure track (without tenure and not leading to tenure consideration).

New ***In Tenure Track*** appointments to the faculty at the rank of Assistant Professor or above will, under normal circumstances, have a pre-tenure period of nine years. (January 1 is considered the mid-point in the medical school’s academic year. The pre-tenure clock is adjusted backward to the preceding July 1 if the appointment occurs prior to January 1 and is adjusted forward to the next July 1 if the appointment occurs January 1 or later. ) Faculty members with prior tenure track academic service elsewhere may be appointed with a shorter than 9 year pre-tenure period, but only if the faculty member, department chair, department promotions committee, the Dean, and the Provost agree.

## **Appointing a New Full Time Faculty Member**

All full time faculty appointments must be initiated by providing the School of Medicine with the ***Request for Approval to Initiate Faculty Search Process*** (2 pages) which details the effort distribution of duties of the prospective faculty member and specifies the sources of funds supporting the salary. This form must be delivered to Daniel Anker, Associate Dean for Faculty Affairs and Human Resources, in advance of interviews. The department chair is then notified when the request is approved and the chair can begin the search.

**The Office of Equal Opportunity & Diversity actively monitors faculty searches for faculty who will be employed by CWRU (receiving any pay through the CWRU payroll system).** Those faculty positions to be employed by CWRU at the assistant professor level and above must be nationally advertised at the time of initial appointment to ensure as broad an applicant

pool as possible. Only a local search is required for the initial appointments of instructors and senior instructors. A national search, however, would be required at the time such a faculty member is nominated for promotion to assistant professor. Unless the department plans to have the new instructor remain at Case for a limited number of years, we advise a national search at the time of initial appointment. Affirmative action approval is granted by the Faculty Diversity Officer in the Office of Equal Opportunity & Diversity. Please visit their website <http://www.case.edu/president/aaction/aaceo.html> for required affirmative action forms or contact them at 368-8877.

All new full-time faculty appointments are conferred by the University Board of Trustees. The Board meets approximately once a month. The application cover sheet for ***Recommendation for Full Time Senior Level Initial (New) Faculty Appointment (5 pages)*** and the one for ***Recommendation for Junior Level Initial (New) Faculty Appointment*** list the pieces of information our office requires in order to consider a new full time faculty appointment.

**Worth noting:**

**...with regard to the nominating letter from the department chair** – the letter should be addressed to the dean and it should include a description of the candidate’s role within the department.

**...with regard to the explanation of financial support** – one should use the ***Request for Approval of Faculty Salary*** form;

**...with regard to the letter of offer** – it should deal specifically with the academic appointment, separating it from employment if necessary. A general description of teaching responsibilities should be described in every offer letter; where appropriate, research and clinical responsibilities should be described as well. It must contain the **sentence “Before becoming effective, this appointment must be approved by the University’s Board of Trustees, in accordance with the policies of Case Western Reserve University.”**

The letter of offer can discuss the criteria for promotion in the track to which the faculty member will be appointed: promotion in the tenure track and the award of tenure generally shall require (1) a record of high achievement of excellence in research; (2) contributions that indicate a high level of teaching effectiveness; and (3) significant service contributions. Promotion in the non-tenure track requires evidence of excellence in either teaching or clinical service or research, an appropriate level of recognition and an acceptable level of contribution in at least one of the other areas of activity.

**The Dean and the Provost must approve all offer letters to faculty in the tenure track prior to their being sent to the candidate.** For a tenure track appointment the letter of offer must demonstrate that the faculty member is going to be provided with resources for success in the tenure track (time, space and salary support for unfunded time for research) and that expectations for tenure track performance (teaching, research and service) are communicated. It can describe the appointment approval process, ie. “the appointment process includes review and approval by the department’s committee for appointments, promotions and tenure (CAPT) and then if necessary through the medical school’s CAPT and Dean’s review. The appointment is predicated in part on the strength of letters of recommendation from those

who trained you and others with academic appointments and who are familiar with your character, experience and accomplishments.”

**...with regard to the department’s Committee on Appointments, Promotions and Tenure vote** – the numerical vote should be stated in the memo and the memo should be signed by the chair of the committee. Please pay attention to who on the committee is eligible to vote due to rank and tenure status.

**...with regard to the cv** - candidates must not add their proposed faculty appointment to their cv or have their name added to the department website or stationery before the Board of Trustees has conferred their appointment. Please refer to the *Format for Curriculum Vitae and Bibliography*.

**...with regard to the proof of terminal degree** – a photocopy of diploma or a letter of verification from the degree-granting institution may be used.

**...with regard to the reference letters** – a different number and type of letter is required depending on the rank being requested, see cover sheets. For senior level appointments, lists of referees are provided to the Faculty Affairs office and our office solicits the reference letters. For junior level appointment, candidates supply a list of referees to the department which solicits the letters. The department’s request for a letter of reference should note that the candidate is being considered for faculty appointment and the rank being proposed. Letters should be solicited from those who have trained the candidate and/or those in academic positions who are familiar with the candidate’s character, experience and accomplishments. The reference letters can discuss the candidate’s appointment to the hospital staff as a physician, if appropriate, but should also address his/her suitability for a faculty appointment.

**...with regard to the affirmative action approval (when necessary) – full time faculty who will be employed by CWRU (receiving any pay through the CWRU payroll system) must have affirmative action approval;** check the approval memo for accuracy with regard to rank and tenure status. If a national search was done, make sure the approval states that the candidate is being approved as a result of a national search.

**...with regard to the Request for Approval to Initiate Faculty Search Process** approval – a copy of the approval will help us match opening with proposed candidate.

**Once all of the paperwork has been gathered submit it to the School of Medicine Faculty Affairs and Human Resources office.** All paperwork should be timely and not dated more than twelve months previous. The packet will be reviewed and submitted to the Dean for approval and then to the Provost’s office for consideration and then submitted as a resolution to the Board. Once we receive the University Board of Trustees approval, we will generate an **Annual or Interim Appointment to Faculty of School of Medicine** (faculty appointment) form and send it to the department for the chair’s signature and distribution to the faculty member.

A Ph.D. scientist candidate for faculty appointment in the tenure track in a clinical department must be offered a concurrent secondary appointment (appointment without financial or tenure

obligation) in an appropriate basic science department. Waiver of this requirement can be obtained from the Dean if no appropriate basic science department exists in the School of Medicine or for other compelling reasons. The primary clinical department should obtain this waiver from the Dean prior to making of an offer of employment to the candidate.

If the faculty member is to receive a paycheck from CWRU, a ***Personal Data Salary Authorization*** form (pd) must also be submitted to us. The faculty member must visit Human Resources to complete tax forms and possibly benefit forms.

### **Tenure Extensions**

Pre-tenure periods may be extended, upon request, for a variety of reasons. A one-year extension of the pre-tenure period due to childbirth or adoption is granted upon providing notice of the parenting event to the Office of Faculty Affairs and Human Resources (which coordinates notice to the Provost's office), if requested within one year of the date of delivery or adoption. The Faculty Handbook gives more information on other reasons for extensions. Extensions (other than for parenting) are limited, however, to a maximum of three years beyond the normal nine-year period. Please refer to the ***Request for Extension of Pretenure Period*** form.

### **Transfer To or Off the Tenure Track**

A faculty member in the tenure track may choose at his or her discretion to transfer to the non-tenure track. Please refer to the ***Request for Transfer from the Non-Tenure to the Tenure Track*** form.

### **Appointment Transfers**

The Dean's approval is needed when a full time faculty member, regardless of tenure status, wishes to move from one academic department to another within the School of Medicine. There is a ***Request for Transfer of Primary Appointment*** that lists the items necessary for a faculty member to transfer. Transfer is never "automatic" but may be granted at the Dean's discretion. Once approved, an **Annual or Interim Appointment to Faculty of School of Medicine** form will be sent to the department for chair's signature and distribution to the faculty member.

Faculty may also transfer their appointments to or from departments based in the Cleveland Clinic Lerner College of Medicine; please refer to the ***Request for Transfer of Primary Appointment to the CCLCM***.

### **Appointing a New Part Time Faculty Member**

Part-time faculty appointment is appropriate for those who contribute less than 50% of their professional time to School of Medicine programs. Faculty based at our major affiliates (University Hospitals, Cleveland Clinic, MetroHealth and the VA) are assumed to be devoting all of their professional activities to medical school programs and should be provided full-time faculty appointments. The School of Medicine has a sizeable part-time faculty consisting in large part of clinicians in private practice who spend some time teaching in a clinical setting and

academicians who spend some time teaching in a classroom setting. Part-time status is indicated by a modifier, either the word Adjunct or Clinical, preceding the ranks of Professor, Associate Professor, Assistant Professor, Senior Instructor or Instructor in the faculty member's title; e.g., Clinical Assistant Professor. Part-time faculty are eligible to receive compensation from CWRU but they are not eligible receive CWRU employee benefits. Part time faculty appointments do not require affirmative action approval or University Board of Trustees approval. There is an application cover sheet for ***Recommendation for Part Time (Adjunct/Clinical) Senior Level Initial (New) Appointment*** and one for ***Recommendation for Part Time (Adjunct/Clinical) Junior Level Initial (New) Appointment*** that lists the pieces of information the dean needs in order to consider a new part time faculty appointment.

Again, if the faculty member is to be on the CWRU payroll, a ***Personal Data Salary Authorization*** form (pd) must also be submitted to us. A faculty member employed by CWRU must personally visit CWRU Human Resources to complete tax forms. Part time faculty members are not eligible for fringe benefits. Once we receive the dean's approval, we will generate an **Annual or Interim Appointment to Faculty of School of Medicine** (faculty appointment) form and send it to the department for the chair's signature and distribution to the faculty member.

### **New Secondary Faculty Appointment**

If faculty members are regularly contributing to the teaching, research, or other academic programs of a department other than that of their initial appointment, they may seek a faculty appointment in this 'secondary' department. There is an application cover sheet *for Recommendation for Secondary Appointment* that lists the pieces of information the dean needs in order to consider a new secondary appointment. No Affirmative Action approval is necessary. The Dean requires a letter from the candidate requesting consideration for a secondary appointment to the chairman of the department, a letter from the chair of the department of the secondary appointment to the dean supporting this request, a letter of concurrence from the primary department supporting this request, a curriculum vitae, and a description of the candidate's previous and/or future plans for interaction with the full-time faculty the educational programs of the department where the secondary appointment is requested. All new secondary appointments and promotions in a secondary appointment in the Division of General Medical Sciences must have the department's Committee on Appointments, Promotions, and Tenure review and vote.

Faculty members who have been promoted in their primary department can request a promotion in their secondary appointment by writing to the chair of the secondary department. The chair can then approve and submit the request to the Office of Faculty Affairs and Human Resources.

### **Visiting Faculty Appointments**

A visiting faculty appointment can be used in two ways. A 'true' visiting appointment is for someone who holds a faculty appointment elsewhere and is coming here for one year or less. Short term affirmative action approval must be obtained from the Office of Equal Opportunity & Diversity before an appointment offer for a visiting faculty member who is to be employed by

CWRU (receive any pay through CWRU payroll system) may be made. This must be done regardless of the visiting faculty member's expected length of stay. Secondly, a six-month visiting faculty appointment is sometimes used as a 'bridge appointment' while the department is gathering the paperwork to submit for the full time, regular faculty appointment. These bridge appointments can be made based on either regular affirmative action approval (necessary in any case for the regular appointment) or the short term affirmative action approval for visiting faculty who are to be employed by CWRU.

Affirmative action approval must also be obtained in order to reappoint a visiting faculty member who is employed by CWRU if the length of stay is extended beyond the original designated termination date. There is an application cover sheet ***Recommendation for Visiting Appointment*** that lists the pieces of information the dean needs in order to consider a new visiting appointment. If the faculty member is to be on the Case Western Reserve payroll, a ***Personal Data Salary Authorization*** (pd) form and a ***Request for Approval of Faculty Salary*** form must also be submitted to us. The faculty member must personally visit Human Resources to complete tax forms and possibly Benelect forms. International visiting faculty appointments must contact the Office of Foreign Faculty & Scholars prior to appointment. Visiting appointments should be used only when necessary and the duration should be kept to a minimum.

### **Promotions – Senior Level**

The process for senior level promotions to associate professor or professor, and/or the award of tenure, begins in the spring of one year to be effective on July 1 of the following year. Please refer to the ***Recommendation for Full Time Senior Level Promotion*** coversheet **but please be aware that the Provost may change this process from year to year**. The current process outline is as follows:

**Spring of current year**– department/system committees on appointments, promotion and tenure review their candidates

**May 31** – department recommendations for promotion and/or tenure, with application materials, due in the Office of Faculty Affairs and Human Resources. Referee lists must have a current email and street address. Submit complete materials in electronic format on a CD and one hard copy of the complete application to the Office of Faculty Affairs and Human Resources. Include NIH data sheets or complete CVs for all external referees.

**June & July** – the Office of Faculty Affairs and Human Resources reviews materials and solicits letters of reference. 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 "arms length" from the candidate and are individuals 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 number of external referees required differs for the rank and tenure status of the candidate and are summarized as follows:

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

5 referees selected by the candidate

5 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:**

5 referees selected by the candidate

5 referees selected by the chair

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

**For Professor:**

5 referees (preferably external) selected by the candidate

5 referees (preferably external) selected by the chair

**For Associate Professor:**

5 referees (preferably external) selected by the candidate

5 referees (preferably external) selected by the chair

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.” The portfolio should be provided to the Office of Faculty Affairs and Human Resources no later than July 1.

**September thru November** – the School of Medicine Committee on Appointments, Promotions, and Tenure reviews candidates

**October thru December** – Faculty Council Steering Committee reviews the faculty CAPT recommendations for matters of equity

**November & December** – the dean reviews each candidate’s materials, determines her recommendations and forwards the materials to the provost

**January thru March** – for faculty in the tenure track, the provost convenes the President’s Advisory Committee for additional review and for faculty in the non-tenure track, the provost and president review the files

**March thru June** – the president presents final recommendations to the University Board of Trustees

**July 1** – promotions and awarding of tenure becomes effective

### **Promotions – Junior Level**

Promotions to the rank of Senior Instructor and Assistant Professor, will be considered twice annually by the Board of Trustees. Materials are due in September or March for promotion to be effective the immediately following January 1 or July 1. Please refer to ***Recommendation for Full Time Junior Level Promotion*** coversheet that lists the items necessary for the Board to consider a junior level promotion.

Three letters of support, solicited by the department should be gathered for the promotion. These letters may be from colleagues, medical student, graduate students or residents and should be appropriate to the candidate’s focus and relevant to the activity on which the promotion is based.

A national search is required for affirmative action approval in order for a faculty member to be promoted to the Assistant Professor level. If the initial affirmative action approval was as a result of a national search then that approval may be used, if not then a revised affirmative action approval is necessary. Please contact the Faculty Diversity Officer in the Office of Equal Opportunity & Diversity.

Required for a tenure track promotion will be a letter of appointment from the department chair to the candidate that describes research expectations and the department's commitments of resources (space, time, financial support) for those activities; the original letter of offer will suffice if it satisfies these requirements.

### **Promotions – Part time**

Part time faculty may be promoted anytime throughout the year and do not require Board of Trustee approval. Please refer to the *Recommendation for Part Time (Adjunct/Clinical) Senior Level Promotion* coversheet and the *Recommendation for Part Time (Adjunct/Clinical) Junior Level Promotion* coversheet.

### **Sabbaticals and Leaves**

Tenured faculty members may request a Sabbatical leave of absence by completing the *Request for Sabbatical*. The faculty member must prepare a plan and submit it to his chair for approval. The request is then considered by the Faculty Council Steering Committee, the Dean and then the Provost. Non-tenured faculty may use the *Request for [Non-Sabbatical] Leaves of Absence* form. The application is completed by the faculty member and submitted to his chair for approval. The request is then considered by the Dean. Be sure to review with the faculty member the reason for the leave to determine if it does or does not fall under the Family Leave Act.

Neither the Dean nor the University provides salary support for sabbatical or other leaves of absence.

### **Emeriti Appointments**

*Recommendation for Emeritus Appointment* application must be completed and submitted along with verification of the faculty member's retirement, a department CAPT vote and a current cv to our office. Emeritus appointments require board approval and are considered by the board twice a year, effective January 1 or July 1.

### **Reappointment Process**

All faculty appointments are for a one year period and are annually renewable. The process begins in the spring with us printing linear reports for each department and location. Those reports are distributed to the departments for updating and then returned to us. We enter this data into a pending database and print appointment forms to match. Salary information is added and the dean's signature affixed. A white and blue copy of each form is returned to the departments to be signed by the chair and then distributed to the faculty. Cover memos and self-addressed

envelopes are provided. The faculty member is asked to sign and return the blue copy in the envelope provided, keep the white copy for their records.

### **Notice of Non-Renewal**

All non-tenured faculty may be given notice of non-renewal. This notice shall be communicated in writing by the chair of the department, with a copy coming to our office. The duration of the notice is determined by the faculty member's full or part time status and length of appointment and can be found in Chapter 3 of the Faculty Handbook.

### **Resignation/Retirement**

When a faculty member wishes to resign or retire, he or she should submit a letter of resignation to his department chair. A copy of the letter of resignation should come to us. Often when resigning from the full time faculty, a faculty member might request to maintain a part time faculty appointment. The faculty member should put that in writing and once approved by the chair forwarded to us.

### **Department Committee on Appointments, Promotions and Tenure (Dept. CAPT)**

Prompted by an annual call, chairs nominate faculty members to serve on this departmental committee. The associate dean for faculty affairs and human resources reviews these on behalf of the dean. A periodic rotation of members is suggested with no more than one-third of the membership changing annually. Tenured and non-tenured, women and minority faculty should be represented. The committee may include adjunct and/or clinical faculty and faculty from other departments. The department chair should sit on the committee but not serve as its chair. Voting rights are specified in Chapter 3 of the Faculty Handbook.