

APPENDIX I

QUALIFICATIONS AND STANDARDS FOR APPOINTMENT, PROMOTION, AND  
THE AWARD OF TENURE FOR FACULTY MEMBERS IN THE SCHOOL OF  
MEDICINE  
CASE WESTERN RESERVE UNIVERSITY

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## TABLE OF CONTENTS

	Page
I. Qualifications and Standards for Appointment, Promotion, and the Award of Tenure of Faculty	3
A. As Specified by the University	3
B. As Applied to the School of Medicine	4
1. Research	4
2. Teaching	5
3. Professional Service	7
a. Administrative Service	7
b. Clinical Service	7
4. Exceptional Qualifications	8
C. Tracks and Requirements for Promotion and/or the Award of Tenure	9
1. Tenure Track	9
a. Assistant Professor	10
b. Associate Professor	10
c. Professor	10
2. The Award of Tenure	10
3. Non-Tenure Track	11
a. Assistant Professor	11
b. Associate Professor	12
c. Professor	12
4. Transfer between the Tenure and Non-Tenure Tracks	12
II. Qualifications and Standards for Appointment and Promotion of Adjunct/Clinical Faculty	13
III. Qualifications and Standards for Emeritus Appointment	14

I. Qualifications and Standards for Appointment, Promotion, and the Award of Tenure of faculty

A. Qualifications and Standards for Appointment, Reappointment, Promotion, and the Award of Tenure as Specified by the University (and as outlined in the Faculty Handbook Chapter 3, Article I:F1-6).

1. The qualifications for faculty appointment and reappointment include the following, as appropriate to the type of appointment: (a) an expert knowledge of his or her academic field and a commitment to continuing development of this competence; (b) a dedication to effective teaching; (c) a commitment to a continuing program of research or other advanced creative activity or, where more appropriate to the particular academic context, professional service activities; and (d) a willingness to assume a fair share of university administrative and service tasks.

2. Faculty appointments with tenure and without tenure but leading to consideration for tenure should be based on evidence that the candidate can and will continue to satisfy all of the foregoing qualifications. Faculty appointments on the non-tenure track should be based on evidence that the candidate can and will continue to satisfy item (a) and two of items (b), (c), and (d) of the foregoing qualifications. Special faculty appointments should be based on evidence that the candidate can and will continue to satisfy item (a) and one of items (b), (c), and (d) of the foregoing qualifications.

3. Reappointments and promotions should reflect the candidate's documented fulfillment of these qualifications and the growth of his or her corresponding contributions. It should be recognized that the creative and professional service accomplishments of the faculty may take many different forms. Thus, the evaluation of a candidate's activities should be based on his or her academic competence, teaching effectiveness, and contributions to attainment of the particular academic objectives of his or her department or school and the university as a whole.

4. Tenure is awarded to a faculty member only when the university foresees for him or her continuing fulfillment of the qualifications listed above. The granting of tenure requires affirmative action by the university, following careful review

of the candidate's qualifications. The economic situation of the university and the margin of opportunities for renewal of faculties are also considerations pertinent to the awarding of tenure. Faculty on the tenure track should receive from the dean or the dean's designate candid and timely information when factors other than those related to professional accomplishment may play a part in tenure consideration.

5. Faculty members with joint appointments as university administrative officers shall be considered for promotion and tenure on the basis of performance in both capacities. For such faculty members, as for any others, the maintenance of academic competence and teaching effectiveness shall be vital criteria. The distinctive contributions of such candidates to administrative service, however, shall be considered in combination with their research or equivalent creative activities.

6. It is the policy of the university not to discriminate on the basis of race, religion, age, sex, color, disability, sexual orientation, national or ethnic origin, political affiliation, or status as a disabled veteran or veteran of the Vietnam era or other veteran and to judge faculty members based solely on legitimate intellectual and professional criteria.

#### B. Qualifications and Standards for Tenure Track Appointment, Promotion, and the Award of Tenure as Applied to Faculty Members in the School of Medicine.

The standards and criteria for promotion and award of tenure apply across all departments and affiliated hospitals.

Academic efforts of the faculty of the School of Medicine sustain and advance the educational scientific goals of the School of Medicine and the university through research, teaching, and professional service. Professional service includes both administrative and clinical service. The evaluation of the accomplishments of faculty in these efforts is described below.

1. Excellence in scholarly research, involving the discovery, organization, interpretation, and transmission of knowledge, is a primary criterion for promotion and the award of tenure. The quality of the research program of an individual shall be evaluated as to the originality, depth, rigor, and thoroughness of the studies. Important discoveries, international and national recognition, and innovations in techniques or methods shall lend weight to the assessment. The research may be laboratory, non-laboratory, or patient-based or a combination thereof. Research contributions to be

evaluated include publications in scholarly or professional journals, book chapters, books, invited papers and lectures, literature reviews, case history reports, abstracts, book reviews, major reports, and other presentations. Success in obtaining external research grants or other supportive funding shall also be considered in the evaluation of research qualifications. Also to be considered are professional honors, awards, and national offices; participation in research review committees of the national, state or local government and of voluntary health organizations; and service on editorial boards of scientific journals or as an examiner on subspecialty boards. The quality of the research efforts of individuals will be assessed through letters of evaluation of the scholarly work obtained from authorities in the field of interest of the candidate at this and other major academic institutions. A list of professional peers who can judge the merit of the research program should be submitted with other biographical material to the dean's office for review. The list should include colleagues who have not been associated with the candidate as well as those who have been associated with the candidate. In addition, the candidate is invited to submit a brief (two pages or less) description of his or her research accomplishments (and other professional accomplishments).

While the evaluation of research accomplishment has traditionally focused on the faculty member's individual achievements, including first and senior authorships and funding as principal investigator, the present and future of science will place increasing emphasis on interdisciplinary research team science. Where relevant, therefore, a faculty member's contributions to interdisciplinary research team science shall also be considered. Such factors as originality, creativity, indispensability, and unique abilities may be considered when making this evaluation. The candidate is invited to submit a brief description of his/her role in the team effort, and statements from the principal investigator, the director of the project, and others with first-hand knowledge as to the role of the candidate.

2. A high level of teaching effectiveness, involving the organization, evaluation, and transmission of knowledge, is a primary criterion for promotion and the award of tenure. All faculty are expected to participate in teaching. The candidate's skill in teaching and continuing dedication in this endeavor shall be assessed. The candidate shall have demonstrated a capacity and a desire to maintain teaching effectiveness and show capacity for continuing growth as a teacher. It is implicit that teaching effectiveness includes serving as a model of professional conduct for students,

colleagues, and patients. Standards relating to teaching include: (a) preparation and presentation of material in a well-organized, current and stimulating fashion as viewed by peers and students; (b) leadership in design, organization and/or presentation of a course, clinical program or subdivision thereof; (c) ability to evaluate and counsel students; and (d) participation in postgraduate educational activities.

Teaching settings are to be broadly defined. They 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.

Recognition of performance in these educational activities depends on consistent, enthusiastic participation and offering personal assistance to students. Similarly, recognition for clinical teaching requires contact with students over a sustained period, not limited to occasional ward rounds, demonstrations, or presentations. Such contributions, in general, include functions concerned with the planning and implementation of teaching with regard to content, depth, coverage, sequence, evaluation, and coordination. The candidate should exhibit scholarship in teaching as evidenced by careful thought regarding the purpose of teaching, the definition of realistic objectives, identification of important material to be presented, selection of the appropriate methods of presentation, the modification of teaching in light of experience, the evaluation of the teaching goals, and a willingness to engage in critical self-evaluation. Recognition will be given to original, innovative and unique contributions and published reports of such contributions. Teaching may be judged to be of high quality, however, without being innovative or original. In addition, since administration of education efforts is an integral component of the teaching process, service as a subject committee chair, area of concentration chair, core clerkship director, section leader, residency training program director, or equivalent positions, and service on educational committees constitute significant criteria for consideration.

The quality of these educational efforts will be assessed by student and resident reviews and by statements from colleagues at this and other institutions. Candidates are encouraged to submit to the dean a list of students and residents who can best judge teaching efforts, along with other biographical information, for review purposes. All candidates should present a commonly

organized teaching portfolio to enable better evaluation of the quantity and quality of their teaching contributions. Portfolios might include a self-report, detailing for each course or area of teaching (clerkship, training program, residency, etc.), such basic facts as the number of years involved, the primary role of the candidate, the type and number of participants, the number of contact hours per year, and special contributions that the faculty member believes he or she has made. Teaching portfolios should also include materials demonstrating the extent of the candidate's scholarship in teaching (as described in the preceding paragraph) as this may be reflected in the candidate's teaching materials, curricula, syllabi, computer programs, videotapes, teaching awards, and self-reflective statements.

3. Accomplishment in professional service is indispensable for the attainment of the academic goals of the School of Medicine, and the quality of this activity shall be assessed for candidates for promotion and the award of tenure. The professional service accomplishments of faculty members may take different forms as defined by the objectives of the various departments. Professional service consists of both administrative and clinical service, and all candidates should demonstrate a continuing commitment to contributions to administrative and service tasks.

a. Administrative Service. All faculty will be expected to make administrative service contributions. Examples of administrative service include but are not limited to (a) significant administrative contributions; (b) significant contributions to university, hospital, or clinical practice welfare; (c) participation in departmental, hospital, university and/or medical school committees; (d) professional memberships and activities and services related to professional societies; (e) participation in research review committees of the state and federal government and of voluntary health organizations; (f) service on editorial boards of scientific journals or as an examiner on subspecialty boards; (g) participation and/or leadership in educational and professional society committees or committees of national, state and local voluntary health agencies, such as the Academy of Medicine and the Ohio State Medical Association.

b. Clinical Service. For those faculty engaged in it, excellence of clinical service will be recognized and evaluated as part of the combined achievements that qualify for promotion and the award of tenure. Excellence shall be judged by both objective and subjective measures. The determination of the level of clinical excellence achieved by a candidate for appointment, promotion, or tenure may include consideration of materials not limited to the following: (1) specialty and subspecialty board certification and

recertification; (2) outcomes data, if available, including mortality and morbidity data, comparative length of stay data, and surveys of patient satisfaction; (3) documentation of a reputation for excellence in one's clinical specialty as evidenced by membership or fellowship in professional societies, especially in leadership positions, and awards for clinical service or patient satisfaction; (4) documentation of scholarly activities that influence the practice of medicine nationally; (5) recognition as an authority as indicated by consultations, invited lectures and seminars, visiting professorships, and invited writings; and (6) letters from those such as department chairs or division directors who have directly observed the candidate's clinical work. In addition, letters of reference as to the candidate's degree of excellence in clinical service can be provided by students and residents who have been closely associated with the faculty member during their clinical work.

4. Exceptional Qualifications. The balance of accomplishments in teaching, research, and professional service may vary considerably from one candidate to another. While appointment, promotion, and tenure decisions must be based on evidence that candidates can and will continue to satisfy the qualifications described in the Faculty Handbook (Chapter Three, Part One, I. F), exceptional qualifications in one or two areas may partially compensate for less prominent but acceptable accomplishments in another. There will be unusual instances when research accomplishments are of such high caliber that this activity shall compensate for less prominent but acceptable accomplishments in other activities; similarly there will be unusual instances when involvement in teaching is of such excellence in both quality and quantity and the impact of these contributions on the local environment so great that this activity shall compensate for less prominent but acceptable accomplishments in other activities. Professional service activities shall be weighed in the assessment of a candidate for promotion and/or the award of tenure and an outstanding record in these activities may on occasion make up for less prominent accomplishments in either teaching or research. Administrative and clinical service contributions may be judged in the assessment of candidates for promotion or the award of tenure, especially when such contributions are clearly and directly related to teaching and/or research, as in the case of service as a subject committee chair, core clerkship director, section leader, or research training director, or as a member of an educational committee. Although excellent administrative or clinical activities may on occasion make up for less prominent accomplishments in either research or teaching,



administrative or clinical activities alone shall not be an adequate basis for promotion above the rank of assistant professor or for the award of tenure, even though such contributions may be outstanding. Major contributions in administrative areas shall in general be recognized through administrative titles and by salary increases.

The evaluation of academic efforts for promotion and the award of tenure shall be the prerogative and responsibility of the promotions committee of each department and the Faculty Committee on Appointments, Promotions, and Tenure.

### C. Tracks and Requirements for Promotion and/or the Award of Tenure.

Faculty will be appointed to either the tenure track or the non-tenure track. These tracks are described below along with the requirements for promotion in each.

1. The Tenure Track. The tenure track usually will be reserved for faculty who engage primarily or substantially in research. Tenure track faculty are also required to be involved in teaching and service activities. Appointment to the tenure track shall usually be made at the time of initial appointment as assistant professor or higher rank and shall require (1) evidence of the candidate's expert knowledge of his or her academic field and a commitment to continuing development of this competence, (2) the potential for achievement of excellence in research and scholarship in one's discipline, usually demonstrated by a record of research publication, (3) a dedication to effective teaching, (4) and a willingness to assume a fair share of administrative and service tasks. Appointments to the tenure track should include a commitment of adequate research time by the department chair and the availability of sufficient financial resources to support the position.

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. All types of professional activities will be considered as contributing to the overall qualifications for the award of tenure.

The award of tenure will recognize both independent investigators and those whose contributions to research team science are judged to be comparably meritorious.

a. Assistant professor. For initial faculty appointment or promotion from instructor or senior instructor to the rank of assistant professor in the tenure track, the candidate should have received a doctoral degree and completed at least several post-doctoral or fellowship years. Standards for appointment at or promotion to assistant professor in the tenure track include a record of scholarly activity and the potential to advance in a field of research. Those promoted to or appointed at assistant professor in the tenure track should have some teaching experience and show a commitment to assuming teaching duties. Faculty in clinical practice nominated for appointment or promotion to this rank should be board-certified or board-eligible or have equivalent training as approved by the department chair and the dean.

b. Associate professor. The candidate's prior achievements in teaching, research and professional service shall be evaluated. For appointment or promotion to the rank of associate professor in the tenure track, the candidate must present evidence of excellent research and recognition of the research program at a national level. Candidates must demonstrate an established reputation, whether as individual investigators or within a research team, for original ideas, innovations, and contributions. A high level of teaching effectiveness and service contributions is also required.

c. Professor. The candidate's prior achievements in teaching, research and professional service shall be evaluated. For appointment or promotion to the rank of professor in the tenure track, the candidate must present evidence of sustained excellence, enhanced recognition for research contributions, and a national or international reputation. Candidates must demonstrate an established reputation, as individual investigators or within a research team, for original ideas, innovations, and contributions. A high level of teaching effectiveness and service contributions is also required.

2. Award of Tenure. The candidate's prior achievements in research, teaching, and professional service shall be evaluated. Tenure may be awarded to productive independent investigators who have engaged in substantial research activity that is recognized nationally or internationally, as evidenced by a substantial list of first or senior-authored, high quality, peer-reviewed publications in high quality, peer-reviewed journals, or to those whose contributions to research team science are judged to be comparably meritorious. Such factors as originality, creativity, indispensability, and unique abilities may be considered when evaluating research team scientists.

Tenure is awarded to a faculty member only when the university foresees for him or her continuing fulfillment of the qualifications listed above. The granting of tenure requires

affirmative action by the university, following careful review of the candidate's qualifications. The economic situation of the university and the margin of opportunity for renewal of faculty appointments are also considerations pertinent to the award of tenure.

3. The Non-Tenure Track and Hospital-Based Appointments (Hospital-based university appointments were awarded in the period from July 1, 1979 to July 1, 1984). An individual's hospital-based university appointment will continue as long as the hospital appointment is held.

Faculty holding an appointment in the non-tenure track (and those holding a hospital-based appointment) shall have the same rights of academic freedom as all other faculty. Exercise of these rights shall not be a factor in the consideration of reappointment or promotion or a cause for non-reappointment or non-promotion. Non-tenure track faculty receive term appointments for terms of from one to five years, which term may be renewed. For rolling appointments of full professors in the non-tenure track, see the School of Medicine Bylaws, Chapter 5.5.

Appointment to the non-tenure track shall require evidence of the candidate's expert knowledge of his or her academic field, and a commitment to continuing development of this competence, and evidence that the candidate can and will satisfy university requirements for two of the three following activities: 1. a dedication to effective teaching; 2. a commitment to a continuing program of research; and 3. a willingness to assume a fair share of service contributions. Service contributions may take the form of administrative and/or clinical service.

The non-tenure track recognizes faculty members for their research, teaching, administrative service, and clinical service contributions that, in combination, are essential to the academic mission of the School of Medicine. All types of professional activities will be considered as contributing to the overall qualifications for non-tenure track appointment and promotion. Research-focused faculty members may be appointed to the non-tenure track.

a. Assistant professor. For appointment or promotion to the rank of assistant professor in the non-tenure, the candidate should have received a doctoral degree and completed at least several post-doctoral or fellowship years. It is preferred that those promoted to or appointed at assistant professor in the non-tenure track should have some teaching experience and show a commitment to assuming teaching duties. Faculty in clinical practice nominated for appointment or promotion to this rank should be board-certified or

board-eligible. Standards for faculty in the non-tenure with a research focus include creativity, a record of scholarly activity, and the potential to advance in a field of research.

b. Associate professor. The candidate's prior achievements in teaching, research and professional service shall be evaluated. For appointment or promotion to the rank of associate professor in the non-tenure, the candidate must present evidence of excellence in either (1) teaching or clinical service and recognition of this excellence at a regional or national level or (2) research and recognition of the research program at a national level.

All faculty appointed or promoted to associate professor in the non-tenure must, along with an area of excellence, provide evidence of acceptable contributions in one or more of the other categories of faculty activity (i.e., teaching, research, or service).

Research-focused candidates for appointment or promotion in the non-tenure must have achieved a national or international reputation, whether as an individual investigator or within a research team, for original ideas, innovations, and contributions.

c. Professor. The candidate's prior achievements in teaching, research and professional service shall be evaluated. For appointment or promotion to the rank of professor in the non-tenure, candidates must present evidence of sustained contributions in their research, teaching, or clinical service that is recognized at the national or international level.

All faculty appointed or promoted to professor in the non-tenure, along with an area of excellence, provide evidence of acceptable contributions in one or more of the other categories of faculty activity (i.e., teaching, research, or service).

Research-focused candidates for appointment or promotion in the non-tenure must have achieved a national or international reputation, whether as an individual investigator or within a research team, for original ideas, innovations, and contributions.

#### 4. Transfer between the Tenure and Non-Tenure Tracks

a. At any time prior to the beginning of a faculty member's mandatory tenure year, his or her request to transfer from the tenure track to the non-tenure track shall be honored.

b. Faculty members whose initial appointment at the rank of assistant professor or higher was in the non-tenure track may request a transfer from that track to the tenure track. Such requests require an affirmative vote of the departmental committee on appointments, promotions, and tenure, recommendation of the department chair and of the dean, and the approval of the provost. When making his or her recommendation, the dean will consider the research interests and capabilities of the candidate, departmental programs and goals, the availability of sufficient financial resources to support the research activities of the candidate, and any other factors he or she considers relevant. Faculty service at the rank of assistant professor or higher will count as part of the pretenure period unless special exemption is made. The provost will determine the pretenure period when a transfer is approved. As specified in the Faculty Handbook Ch. 3, Part One, B.5, the provost's approval of such a transfer is based on (i) evidence of demonstrated performance in research, teaching, and service, and (ii) the department chair's and/or dean's assurance that the faculty member will be provided with opportunities to develop the components of faculty activity expected of tenure-track faculty.

### III. Qualifications and Standards for Appointment or Promotion of Adjunct/Clinical Faculty

The qualifications to be evaluated for the promotion of adjunct/clinical faculty shall include primarily teaching, research, or clinical service contributions along with administrative service contributions. These efforts shall be assessed using the same standards and procedures as those applied to full-time faculty. However, the time commitment and the duration of service at the university shall be emphasized in the evaluation. Scholarly research activity, contributions to Year 1 and 2 teaching, educational administrative efforts, and, if appropriate, participation in community health organizations may lend weight to the evaluation.

Appointment or promotion to the rank of adjunct/clinical professor requires demonstration of special merit with respect to professional and academic accomplishment and evidence of significant contributions to the academic efforts of the university. Promotion or appointment to this rank shall be a senior but not a terminal appointment, and it should not be used in place of an honorary degree: Continued effort for the university is expected after such an appointment or promotion. In addition to the academic achievements expected of all adjunct/clinical faculty, the professional excellence of candidates for promotion to the rank of adjunct/clinical professor should be recognized outside the Cleveland area.

#### IV. Qualifications and Standards for Emeritus Appointment

Webster defines emeritus as "retired from active service, usually for age, but retaining one's rank or title: as, professor emeritus." The Latin from which the word is derived means to earn by service. Consistent with the above, the Faculty of Medicine wishes to recognize the contributions of its members at the time of retirement by the granting of the title emeritus to all faculty who meet the criteria stated below as well as those described in the Faculty Handbook.

Eligibility for emeritus appointment shall require that the individual hold appointment at the rank of assistant professor, associate professor, or professor or at these ranks modified by the term clinical or adjunct. Meritorious service in one or more areas of academic activity (research, teaching or professional service) for at least ten years at Case Western Reserve University is required.

Recommendations for appointment to emeritus status shall be based upon recommendation by the department chair with the approval of the department's committee on appointments, promotions, and tenure. Such recommendations shall be forwarded to Faculty Council Steering Committee (acting under authority granted by the bylaws of the Faculty of Medicine), which shall forward its recommendation to the dean, who shall add his or her recommendation to that of the Faculty of Medicine and forward it to the president for subsequent action by the Board of Trustees.