

APPOINTMENT, PROMOTION AND TENURE

Wake Forest School of Medicine seeks to recruit, retain and promote faculty of the highest caliber. All faculty members are valued and excellence and achievement are rewarded with promotion, regardless of the career path of the individual faculty member. Faculty members whose focus is scholarship are eligible for tenure.

APPOINTMENT OF FACULTY

Appointments to the faculty are made to meet specific academic or clinical requirements which strengthen the institution and/or replace members of the faculty who have retired or resigned provided institutional need or strategy supports such replacement. All positions are approved by the Dean and, for clinical faculty, the President/Chief Operating Officer of Wake Forest Baptist Health, before recruitment is initiated.

- All initial appointments for faculty members with substantial scholarly effort (Tenure Track or the non-tenure eligible Clinical Scholar and Basic Science Educator Tracks, see below) are for a term of up to three (3) years.
- Faculty members with substantial clinical effort (non-tenure eligible Clinician Track) have initial appointments as agreed by the Department Chair, the President/COO of Wake Forest Baptist Health and the Dean.
- Faculty members on the non-tenure eligible Research Track have appointments that are determined by the source(s) of funding.
- After the initial appointment non-tenured faculty members may be reappointed for one year terms, which may be renewed annually. There is no right to reappointment at the end of the term.

At the time of initial appointment, the faculty member and his/her Department Chair or Division/Institute Director review together the criteria for advancement on the appropriate track.

Academic Tracks

Wake Forest University School of Medicine has five tracks for appointment and advancement of faculty. All faculty members are eligible for promotion. In addition, those on the Tenure Track are eligible for tenure.

Tenure Track

As a general guideline, to be appointed on the **Tenure Track** faculty members in basic science departments and non-clinical faculty members in clinical departments should have at least 75% effort and clinical faculty members should have at least 50% effort devoted to scholarship. Scholarly activities may encompass research or education (where education involves scholarship beyond teaching). With the agreement of the Chair/Director and Dean, certain faculty members may be eligible for tenure with lower percentages of scholarly effort but are evaluated for tenure by the same standards of scholarship as faculty meeting the 75/50% standards. Faculty members with clinical appointments at the Veteran's Administration and academic appointments at the School of Medicine are eligible for tenure provided they have appropriate effort assigned to accomplish scholarly excellence. (Tenure for these faculty members refers only to the School of Medicine component of the appointment).

Tenure Track appointments are proposed by the Chair or Director and approved by the Dean after review and approval by the Faculty Executive Council (FEC), advised by a report from the Promotions and Tenure Committee (P&T Committee) when the rank at appointment is Associate Professor or Professor. The President/COO of Wake Forest Baptist Health approves the clinical effort associated with the appointment of clinical faculty on this track. Grant of tenure is subject to the criteria and procedure detailed below. Faculty members in this track have standard academic ranks, without modifiers.

Non-Tenure Eligible Tracks

The **Clinical Scholar Track** is for clinical faculty with substantial clinical effort who participate meaningfully in the scholarly activities implied in the track title.

The principles of scholarship are reflected in the criteria proposed by Boyer (Boyer, EL: Scholarship Reconsidered: Priorities of the Professoriate, 1990, The Carnegie Foundation for the Advancement of Teaching)¹. Work becomes scholarship when it is subjected to peer-review and disseminated in some form. In addition scholarly activity should provide a platform for future scholarly activity or application.

Appointment on this track is proposed by the Chair or Director and approved by the Dean with input from the President/COO of Wake Forest Baptist Health after review and vote by the FEC, advised by a report from the P&T Committee when the rank at appointment is Associate Professor or Professor. Faculty members appointed on this track are not eligible for tenure and retain standard academic titles, without modifiers.

The **Clinician Track** is for faculty members who primarily contribute to the clinical mission of the institution. Appointment on this track is proposed by the Chair or Director and the President/COO of Wake Forest Baptist Health and approved by the Dean. Appointment on this track requires review and approval by the FEC, advised by a report from the P&T Committee when the rank at appointment is Associate Professor or Professor. Faculty members appointed on this track are not eligible for tenure and retain standard academic ranks, without modifiers. Veterinarians primarily involved in clinical service in support of the research mission of the School of Medicine are appointed on this track.

The **Basic Science Educator Track** is for basic science faculty with less than 75% research effort. Appointment on this track is proposed by the Chair or Director and approved by the Dean after review and approval by the FEC, advised by a report from the P&T Committee when the rank at appointment is Associate Professor or Professor. Faculty members appointed on this track are not eligible for tenure and retain standard academic titles, without modifiers.

The **Research Track** is for faculty involved in time-limited research programs with no or minimal teaching or service responsibilities. Such appointments are contingent on continued extramural research funding for salary support. Appointment on this track is proposed by the Chair or Director and approved by the Dean. FEC approval is not required. When the rank at appointment is Associate

¹Four categories of scholarship are recognized:

Discovery: traditional scholarship involving research.

Integration: critical analysis and review of knowledge, including creative synthesis of views and insights regarding the original work of others.

Application: applying knowledge in the solution of problems such as in the clinical arena.

Education: the process of education, not limited to excellence as a teacher.

Professor or Professor, the P&T Committee evaluates the appropriateness of the proposed rank. Faculty members appointed on this track are not eligible for tenure and have standard academic ranks, without modifiers (for example, the title “Research Assistant Professor” is not used).

Joint and Volunteer Appointments

Veterans Administration Employment. Faculty members who are jointly employed by the Veterans Administration and the School of Medicine are eligible for academic titles, promotion and tenure commensurate with these guidelines. Appointment of these faculty members is proposed by the Chair or Director and approved by the Dean after review and approval by the FEC. Faculty members on this track have standard academic titles, without modifiers.

Shared Primary Appointments. Faculty members with Shared Primary Appointments among Departments, Divisions or Institutes of the School of Medicine are eligible for tenure and promotion as described in the relevant sections below. Appointment, promotion and tenure require proposal and support from both entities to which the faculty member is appointed.

Joint Appointments. Faculty members of the Reynolda Campus of Wake Forest University are eligible for joint appointments in the School of Medicine. Similarly, School of Medicine faculty members may be jointly appointed in departments of the School of Medicine, Wake Forest College, or other Schools of the University in which they do not retain a primary appointment. Appointments are proposed by the Department Chair requesting the joint appointment and approved by the Dean of the School of Medicine and the relevant College or School on the Reynolda Campus or Department Chair of the School of Medicine, as appropriate. Jointly appointed faculty members are subject to the promotion and tenure policies of the College or School in which they are primarily appointed, but input is obtained from the Chair of the Department in which they have the joint appointment. Tenure (if granted by the primary School) does not extend to the secondary portion of the joint appointment. Joint appointments may be terminated if the reason for the joint appointment no longer exists without affecting the tenure status in the School or College in which a faculty member is primarily appointed. Faculty members with joint appointments have standard academic titles, without modifiers.

Medical Center Adjunct Appointments. Non-physician employees of Wake Forest Baptist Medical Center or its affiliates may have adjunct appointments at the School of Medicine. Adjunct appointments are not tenure eligible and carry no financial obligation of the academic department to the faculty member. Furthermore, employment by the Medical Center or affiliate supersedes the adjunct appointment. Thus if Medical Center or affiliate employment is terminated, the adjunct appointment automatically terminates. These appointments may be terminated if the reason for the joint appointment no longer exists. Adjunct faculty members with appointments in this category have standard academic titles, with the modifier “Adjunct” (e.g., Adjunct Assistant Professor of Medicine).

Volunteer faculty members are not employed by the School of Medicine. Clinical volunteer faculty members are expected to participate in the teaching and research missions of the School. Appointment on this track is proposed by the Department Chair and approved by the Dean. Clinical faculty members in this track have standard academic titles, with the modifiers “Clinical” and “(Volunteer)”, e.g.: Clinical Associate Professor of Medicine (Volunteer). Volunteer faculty members, whether clinicians or scientists, substantially involved in the research mission receive the title modifier “Adjunct”.

Assignment of Tracks

Selection of the appropriate academic track at the time of initial appointment is important. The duties and responsibilities of the faculty member (specifically, the amount of time protected from clinical and administrative duties and expectations for scholarly productivity) are determinants of track selection. Expectations as well as the processes of evaluation must be clearly defined. Progress towards advancement and appropriateness of track assignment is reviewed annually at the time of faculty evaluation by the Chair or Director.

Track Changes

Changes in an individual job description that are deemed to be permanent may require a change of track designation. However, failure of a faculty member to meet performance standards is insufficient reason to request a change of track unless there is a concomitant change in duties and responsibilities.

- All proposals for track changes, irrespective of the nature of the change, are discussed by the Chair and the faculty member. Recommendations for track changes must be made by the Chair or Director and approved by the Dean.
- Non-tenure track faculty may request a change to the tenure-eligible track if scholarly excellence and effort warrant the change.
- Individuals on the tenure track may be recommended for change to any non-tenure track within seven years of initial appointment, subject to the needs of the institution and financial resources. (See section on Tenure; Probationary Period to Tenure, below). However, a tenure track faculty member is committed to remain on the Tenure Track once s/he requests consideration for tenure by the P&T Committee.

PROMOTION

Promotions Process

At the time of appointment the Chair should review the criteria for promotion requirements. The annual faculty performance review should be used to review the promotion requirements of the individual faculty member's track and evaluate the individual's progress toward promotion.

Each Department, Division or Institute must have a committee of senior faculty members, advisory to the Chair/Director, to evaluate candidates for promotion and tenure. The committee must evaluate each candidate for promotion before the Chair/Director proposes the candidate to the School of Medicine's P&T Committee. Tenured members of the department advise the Chair/Director on the eligibility of candidates for tenure. If the Dean and Chair/Director determine that there are insufficient numbers of tenured faculty in any department to form a committee, the department chair may seek advice from the tenured members of another department.

The P&T Committee evaluates candidates for promotion annually during a defined period, usually during the fall and winter. The Dean's Office and the P&T Committee provide the timeline and deadlines, together with an outline of the process to the Chairs/Directors in July. The P&T Committee may recommend approval or denial of requests for promotion and/or tenure. The Chair/Director may appeal recommendations for denial of promotions or tenure to the P&T Committee. If, on appeal, the P&T Committee does not recommend promotion/tenure the Chair/Director or faculty member may then appeal to the Dean. The P&T Committee provides its recommendations to the Dean, who presents his/her recommendations to the Chief Executive Officer/Executive Vice President for Health Affairs, who then makes a recommendation to the President of Wake Forest University, who then makes his or her recommendation to the WFU Board of Trustees. Tenure is granted only by action of the Wake Forest

University Board of Trustees. Further appeals may also be available through the Faculty Grievance Committee pursuant to the rules and definitions of the grievance policy.

Promotion to Assistant Professor

Faculty members appointed at the rank of Instructor may be promoted within 1 to 2 years. Promotion to Assistant Professor is recommended by the Chair/Director to the Dean. The P&T Committee is not required to review candidates for promotion to Assistant Professor. Those on the Tenure Track are evaluated on emerging scholarship.

Promotion to Associate Professor and Professor

Faculty members being considered for promotion to the rank of Associate Professor or Professor are evaluated according to the following tracks:

- Tenure Track
- Clinical Scholar Track (tenure ineligible)
- Clinician Track (tenure ineligible)
- Basic Science Educator Track (tenure ineligible)
- Research Track (tenure ineligible)

Each candidate is evaluated by the P&T Committee on the basis of the criteria for the specific track. The evaluation guidelines which follow are titled General Principles, Factors Considered in Evaluating Candidates for Promotion, and Guidelines for Promotion by Track. These guidelines should also be considered by Chairs and Department/Division/Institute advisory committees in evaluating candidates for tenure and promotion.

General Principles

Experience has demonstrated that fairness and equity in evaluating an individual for promotion are best achieved through the mature judgment of a balanced committee of senior faculty members operating within the principles and guidelines below.

1. Promotions are not automatic but are based on merit. The Promotions and Tenure Committee (P&T Committee) has a responsibility to the institution for maintaining a faculty of highest excellence and also a responsibility to the candidate for just recognition and encouragement of achievement, with a reasonable expectation that scholarship and service continue in the future.
2. The Committee evaluates each candidate with respect to the individual's record of scholarship, achievement or leadership. Candidates are also evaluated, as applicable, for their institutional or professional service and administration, as well as service to patients and the community. Contributions to the overall development and reputation of the medical school through other intramural and extramural scholarly and professional activities are also evaluated. (The principles of scholarship are provided in footnote 1 on page 2).

Criteria for promotion are evaluated with flexibility. While some faculty members emphasize scholarship in one of the categories (see footnote 1 on page 2), many document scholarship in several of these realms. Scholarship of Application, in particular, may be applied to those faculty members whose service to the Medical Center involves leadership, program development, and administrative leadership and innovation.

3. Faculty members are expected to be role models for students and junior colleagues. Professionalism, integrity, collegiality, and support for the careers of colleagues are also valued.

Service to the institution, professional societies and organizations, and the community may be considered as part of the process of promotion.

4. Promotion rewards scholarship and accomplishment rather than time in rank. Faculty members being considered for promotion to Associate Professor should have sufficient time in rank and scholarship to achieve the regional and, for tenure track faculty, emerging national reputation necessary for this level of promotion. Progressive levels of scholarship are expected for promotion to each rank for both tenure and non-tenure track faculty.
5. The rank of Professor is reserved for faculty members of outstanding ability and accomplishment whether the predominant area is patient care, teaching, research or service. Promotion to this rank requires national and/or international recognition for both tenured and non-tenured candidates.

Factors Considered in Evaluating Candidates for Promotion

The following factors are considered by the P&T Committee in evaluating faculty members for promotion.

1. **Time in Rank:** In most circumstances, faculty members are considered for promotion to Associate Professor or Professor during the 6th year in rank for the full-time faculty, and 8th year for reduced-time paid faculty. Shorter time frames for submission should be cautiously considered and reserved for exceptional circumstances. Longer time frames are permissible but tenure track faculty members must take into account the probationary period to tenure.
2. **Publication Numbers:** Quality of publications is at least as important as the number of publications. Quality may be judged by the P&T Committee based upon the stature of the journal in which the work is published, the number of citations or other measures to be determined by the committee.
3. **Authorship:** “First Author” refers to the candidate being listed first in a multi-authored publication. “Senior Author” refers to the candidate being listed last on a multi-authored publication. It is recognized that journals and specialty disciplines vary in their authorship hierarchy. The Department Chair should note when other authorship positions may indicate senior responsibility for a published work. The faculty member has the opportunity to highlight particular scholarly contributions in a personal narrative statement.

Wake Forest University School of Medicine recognizes and values the participation of faculty in collaborative research. Thus authorship that is not “first” or “senior” may be highly regarded in the evaluation of a candidate. The personal narrative is a means by which the faculty member may indicate the individual’s contributions in collaborative, multi-author publications (see below).

4. **Portfolio of Educational Achievement:** This document is required of all faculty members, with the exception of Research Track (unless the faculty member participates in teaching), and should be maintained and updated regularly. Guidelines for the Portfolio are detailed elsewhere (LINK).
5. **Clinician’s Portfolio:** This document is required of all faculty members whose promotion criteria include excellence in patient care and should be maintained and updated regularly. Guidelines for the Portfolio are detailed elsewhere (LINK).
6. **Personal Narrative:** A narrative personal statement must be submitted that defines the candidate’s scholarly contributions and other relevant accomplishments. The Chair/Director must acknowledge having read and considered this narrative in her/his letter of proposal for promotion

and/or tenure. This narrative is limited to two pages in length and should explain the individual's contribution to scholarship or other accomplishments without recapitulating the curriculum vitae. This is not intended to be a statement of philosophy or reflection, but is intended to explain the faculty member's contributions to scholarship. For example, the personal narrative may highlight a particular line of scholarly activity, identifying the particular role the faculty member played and the impact of the work. This is particularly helpful to the committee in understanding and evaluating candidates who are involved in collaborative, multi-author papers, and those in the non-tenure tracks whose contributions are measured by means other than traditional publication.

7. Documentation of Excellence: Candidates for promotion and tenure must identify peers who are asked for input about the candidate's excellence and reputation in their field of endeavor. All referees are contacted by the Dean's Office. The numbers of internal and external referees required for each rank are as follows:

- Associate Professor: no fewer than 2 internal references (names of at least 3 referees must be submitted with the package); no fewer than 3 external references (names of at least 5 referees must be submitted with the package). The referees must be at the rank of Associate Professor or higher.
- Associate Professor with Tenure: no fewer than 3 internal references (names of at least 5 referees must be submitted with the package); no fewer than 5 external references (names of at least 8 referees must be submitted with the package). The referees must be at the rank of Associate Professor or higher.
- Professor: no fewer than 3 internal references (names of at least 5 referees must be submitted with the package); no fewer than 5 external references (names of at least 8 referees must be submitted with the package). The referees must be at the rank of Professor.

Referees should be familiar with the candidate's work in the area(s) of emphasis in order to adequately evaluate the candidate's accomplishments. For candidates for Professor the referees must evaluate the candidate's recognition at the national level and the candidate must supply the names of at least two individuals with whom the candidate has never worked. For the most part referees should not be a colleague, scientific mentor, or student with whom the candidate is currently conducting research or other significant professional activities or with whom the candidate has conducted such activities within three years of the date of the application. A candidate may provide the name of ONE mentor or close collaborator to write a letter evaluating the candidate's scholarship. Any such mentor or collaborator must be clearly identified when names for reference letters are submitted as part of the application process.

Some faculty members in the Clinical Scholar or Clinician Tracks may make excellent scholarly contributions at a local or regional level but have limited national visibility. In such cases, the outside reviewers are asked to compare the candidate's contributions with those of similar faculty members at the reviewer's institution.

Guidelines for Promotion by Track

Tenure Track

Faculty members seeking promotion on this track are judged according to the standard criteria for the Scholarship of Discovery and/or Education as appropriate. Specific criteria for promotion to Associate Professor and the conferring of tenure are closely aligned since they are generally awarded simultaneously.

Promotion to Associate Professor and the Awarding of Tenure

The **major criterion** for promotion to associate professor and awarding of tenure is **excellence in research or educational scholarship** of sufficiently high quality to gain favorable recognition within the faculty member's discipline with an emerging national reputation, and that reasonably predicts continued scholarship at a high level. Scholarship includes both traditional scholarship involving research in science and medicine and also that involving innovation and research in the area of education.

In addition to excellence in scholarship as defined below, the P&T Committee evaluates the faculty member's **excellence in teaching and/or clinical care**, as appropriate, and **service** to the institution, to the community and/or to the faculty member's discipline. Promotion of clinical faculty members requires evidence of high quality patient care. On occasion, a tenure track faculty member's scholarship is of such outstanding merit that promotion is approved despite lack of evidence of participation in the education mission or in service to the institution or community.

1. Excellence in Scholarship

Research Scholarship

All of the following elements are required for a faculty member's research scholarship to be considered to be at the level necessary for the awarding of tenure. The scholarship must be:

- Original
- Independent, or, if the faculty member is engaged in collaborative work, of such a nature that the faculty member's contribution to the scholarly work is significant in the design, analysis, context and dissemination of the research
- Important in developing new knowledge
- Recognized by peers

The stature of the scholarship is judged by the following:

- A sustained history of peer reviewed publications in respected journals. Quality of the publications may be evaluated by citations or "impact factor" of the journal.
- Peer recognition as demonstrated by invited participation in major scientific meetings; invited authorship of books, monographs, book chapters and critical reviews; the receipt of honors for scientific achievements.
- Letters by peers in the faculty member's field evaluating the specific contributions of the individual, the importance of her/his contributions, and an assessment of the investigator's stature within the scientific community.
- A personal narrative describing the individual faculty member's contribution to scholarship, especially describing the faculty member's contributions when scholarly products are reflected in multi-author publications in which the faculty member is not the first or senior author.

Educational Scholarship

All of the following elements are required for a faculty member's educational scholarship to be considered at the highest level. The scholarship must be:

- Original
- Important in developing new knowledge and innovation in the field of education
- Recognized by peers

The stature of the scholarship is judged by the following:

- A sustained history of peer reviewed publications in respected journals. These journals may focus on educational scholarship or be other highly regarded peer reviewed scientific or clinical journals.
- Peer recognition as demonstrated by invited participation in major educational meetings; invited authorship of books, monographs, book chapters and critical reviews; the receipt of honors for educational achievements; and election or selection to membership and/or leadership positions in professional organizations.
- Letters by leaders in the field of education evaluating the specific contributions of the individual, the importance of the contributions, and an assessment of the faculty member's stature within the education community.
- A personal narrative describing the individual faculty member's contribution to scholarship, especially describing the faculty member's contributions when scholarly products are reflected in multi-author publications in which the faculty member is not the first or senior author.

In addition, candidates for tenure demonstrate:

2. Excellence in teaching

A high level of effectiveness in teaching is expected of those faculty members being considered for tenure. Teaching effectiveness is described in the faculty member's Portfolio of Educational Accomplishments. The quality and effectiveness in teaching is reflected in the teaching evaluations of peers and learners and in the development of the careers of individuals who have been supervised and mentored by the faculty member.

3. Service

Although scholarly excellence is the primary criterion for the awarding of tenure, evidence of service to the Medical Center, the community and/or to the faculty member's discipline adds weight to evaluation for tenure. Among other activities, service entails participation in the membership of departmental and institutional committees, leadership of seminar series, etc. Leadership in professional societies is regarded as a high level of service, as is membership in NIH study sections, data safety monitoring boards, etc. Recognition of scholarship by election to highly selective organizations (e.g., National Academy of Sciences, Institute of Medicine) or the receipt of prestigious national or international awards as a result of the faculty member's scholarship bring credit to the School of Medicine and are regarded as the highest form of service.

Promotion to Professor-Tenure Track

Promotion to the rank of professor requires all of the foregoing criteria, and evidence of sustained excellence after achieving tenure and promotion to the rank of associate professor. Scholarship must be recognized at a national and/or international level. Candidates for the rank of professor should also demonstrate they are engaged in the mentoring, training and development of the next generation of leaders in medicine and science.

Non Tenure Track

Clinical Scholar Track

Faculty members on this track may participate in patient care, research and teaching. Since faculty members in this track have substantial effort allocated to non-clinical activities, recognition of scholarship in the faculty member's non-clinical activities is essential in the evaluation for promotion. In addition to

research and education/teaching, Clinical Scholars may be promoted for administrative leadership at a high level. The faculty member's personal narrative, clearly explaining the faculty member's contributions, is extremely helpful to the P&T Committee.

Promotion to **Associate Professor** requires a significant degree of career development with recognition by peers within the School of Medicine and the region. Promotion to **Professor** requires a substantial degree of accomplishment and recognition by peers at the rank of professor within the School of Medicine as well as regionally and nationally. Accomplishment in at least two of the following four areas are evaluated for promotion.

1. Clinical:

Faculty members whose main emphasis is clinical practice must excel in at least two of the following three core areas:

- exemplary clinical practice,
- significant contributions to the development of a discipline,
- demonstration of professional innovation.

Excellence in clinical practice is demonstrated by objective measures of quality and also through evaluation by peers, superiors and subordinates, patient satisfaction information as available, and known clinical reputation (for example, recognition by "Best Doctors").

2. Research:

- Faculty members are evaluated on their participation in research, including design, conduct, analysis, presentation and publication of research product.
- Research excellence involves both independent and collaborative activities.
- Evidence of research funding from intramural sources, NIH, foundations or industry is highly valued.
- Research scholarship involves peer review and dissemination of scholarly work.

3. Teaching/Education:

- Teaching students or residents and participation in other activities of the medical school are valued and contribute to the promotion of clinical faculty members.
- Educational scholarship, with innovation, evaluation and analysis of results, as well as scholarly publication in highly regarded journals is valued beyond the activities of high quality teaching required of all faculty members.
- Active contribution to the development of curriculum, evaluation of outcomes and scholarly dissemination is viewed favorably.
- The P&T Committee assesses teaching excellence as outlined in the Portfolio of Educational Achievement, particularly peer and learner evaluations.

4. Service/Administration:

The P&T Committee views favorably:

- Outstanding service, leadership and contributions to departmental/institutional committees.
- Outstanding service, leadership and contributions to outside organizations.
- Active contribution to the leadership of a department, division, institute or other institutional entity that contributes to the development of the entity's excellence and leadership in its field.

Administrative leadership is particularly recognized when there is evidence of peer recognition of the faculty member's activities. Peer recognition of administrative/service leadership does not necessarily require publication of scholarly work in print journals.

The P&T Committee has the necessary flexibility to evaluate the leadership of these faculty members on an individual basis, using the Boyer Criteria (see above) as a guide. In addition, the faculty member may use the criteria developed by Glassick et al². in a personal narrative to articulate the development of the scholarly nature of their work.

Clinician Track

Wake Forest University School of Medicine recognizes that faculty members on the Clinician Track may have little time available for traditional scholarship in education or research.

1. Faculty members whose main emphasis is clinical practice must excel in at least two of the following three core areas:
 - exemplary clinical practice,
 - significant contributions to the development of a discipline,
 - demonstration of professional innovation.

Excellence in clinical practice is demonstrated by objective measures of quality and also through evaluation by peers, superiors and subordinates, patient satisfaction information as available, and known clinical reputation (for example, recognition by “Best Doctors”).

2. Participation to some extent in collaborative research and/or the teaching of students or residents, as well as participation in other activities of the medical school are valued and contribute to the promotion of clinical faculty members.
3. Service/Administration
See Clinical Scholar Track, above.

Basic Science Educator Track

Faculty members in this track are expected to emphasize a blend of scholarly and other activities. Other activities may include education or administration and service activities. Criteria for promotion include:

1. Demonstrated excellence in research
 - Faculty members are evaluated on their participation in research, including design, conduct, analysis, presentation and publication of research product.
 - Research excellence involves both independent and collaborative activities.
 - Evidence of research funding from intramural sources, NIH, foundations or industry is highly valued.
 - Research scholarship involves peer review and dissemination of scholarly work.
2. Education/Teaching
 - The teaching of graduate students, medical students, residents and/or other learners, as well as participation in other activities of the medical school, is valued and contributes to the promotion of **Basic Science Educator Track** faculty members.

² Glassick CE, Huber MT, Maeroff GI. Scholarship assessed. Evaluation of the professoriate. 1997, Jossey- Bass, San Francisco.

- Educational scholarship, with innovation, evaluation and analysis of results, as well as scholarly publication in highly regarded journals, is valued beyond the activities of high quality teaching required of all faculty members.
- Active contribution to the development of curriculum, evaluation of outcomes and scholarly dissemination is reviewed favorably.
- The P&T Committee values teaching excellence as outlined in the Portfolio of Educational Achievement, particularly peer and learner evaluations.

3. Service/Administration

See Clinical Scholar Track, above.

Research Track

Faculty members seeking promotion on the Research Track are generally contingent for their position on extramural funding and therefore have limited opportunities for education and service. Criteria for promotion include:

- Evidence of extramural funding in the candidate's area of research focus. Funding may be from the NIH or other sources. These faculty members may have independent funding or participate in collaborative funding efforts. If these faculty members are co-investigators on other faculty members' grants there must be evidence that they participated substantially in the development of the grants.
- Intra- and extra-departmental evaluations indicating that research is of excellent quality.
- A record of publications in peer-reviewed journals with the candidate being first author in articles.
- Evidence that the candidate provided scholarly value in multi-author studies, where the candidate was neither first nor senior author in resulting publications.
- If the candidate is involved in teaching, documentation that teaching is of high quality, including evaluations from those taught by the candidate.
- There is no expectation that these faculty members participate in education or service. However, modest participation in the non-research missions as permitted by the individual faculty member's effort allocation is favorably regarded by the P&T Committee.

TENURE

General Principles

The grant of tenure provides an appointment without term in the rank in which the faculty member is tenured or to which the faculty member is subsequently promoted. A tenured appointment may be terminated only for adequate cause, except in the case of extraordinary financial exigencies. The purpose of tenure is to ensure academic freedom in research and in the classroom.

Tenure is granted only by action of the Board of Trustees. Similarly, tenure may only be terminated by action of the Board of Trustees.

Tenure is granted to acknowledge outstanding achievement of a faculty member in research and/or education, and recognizes past scholarly accomplishments that reflect an expectation of continued excellence and funding in the academic mission of the School of Medicine. Tenured faculty members are expected to participate in the academic missions of the School of Medicine at the highest levels. Tenured faculty compensation is addressed in the Medical Center Policy on Faculty Compensation.

Faculty members on the tenure track may be awarded tenure at the rank of Associate Professor. Newly recruited faculty members who are tenured at the institution from which they are recruited may be proposed for tenure at the time of appointment, provided they are recruited at the rank of Associate Professor or Professor. Similarly, faculty members who meet the criteria for tenure may be awarded tenure upon appointment if they are recruited to a tenure-eligible rank. In exceptional cases a faculty member on a non-tenure track may be considered for tenure. This usually occurs at the rank of Professor and is reserved for faculty members who have achieved extraordinary national or international recognition in their field.

Only faculty members with full-time appointments may be appointed on the tenure track. However, those tenure track faculty members who are approved for subsequent reduced time appointments continue in the tenure track with some modification of the probationary period to tenure (see below). With the approval of the Dean, tenured faculty members may decrease effort after the awarding of tenure, but, in general, faculty members who decrease effort to less than 0.5 FTE automatically relinquish tenure.

Probationary Period to Tenure (Tenure Clock)

Appointment to the faculty at any rank on the tenure-eligible track requires that the faculty member be evaluated and approved for tenure so that tenure is awarded within 9 years of initial appointment. A faculty member has no right to reappointment for the maximum probationary period.

No later than July 31 of the penultimate (8th) academic year of the probationary period, all non-tenured faculty on the tenure track are given notice that the subsequent (9th) academic year is the terminal year of tenure eligibility unless tenure is granted. Failure to attain tenure by the expiration of the probationary period results in termination of the faculty member's faculty appointment.

Faculty members may change from the tenure track to a non-tenure track or *vice versa*. All track changes must be recommended by the Chair/Director and approved by the Dean. (See section on track changes). Faculty members may switch from the tenure track to a non-tenure track position at any time before the expiration of the 7th probationary year. However, a tenure track faculty member is committed to remain on the Tenure Track once s/he requests consideration for tenure by the P&T Committee. For those changing to the tenure-eligible track the probationary period is adjusted to reflect the faculty member's duration of employment in the non-tenure track. Faculty members who have been in a non-tenure track position for nine years or more have a probationary period no longer than 3 years from the time of the change.

Calculation and Extension of the Maximum Probationary Period

For purposes of calculating the period of probationary service, an "academic year" is the period from July 1 through the following June 30. If a faculty member is first appointed during an academic year, the probationary period begins on the following July 1.

Only full-time service counts toward fulfillment of the probationary period. Periods during which a faculty member is on an approved leave of absence do not count toward fulfillment of the probationary period, as detailed below. Time spent during appointment to a full-time administrative or other non-academic position within Wake Forest University School of Medicine also does not count toward fulfillment of the probationary period. When probationary time resumes, it is cumulative with such time spent before an approved leave or non-academic assignment. Prior service at other academic institutions does not count toward fulfillment of probationary service.

A faculty member who determines that certain personal circumstances impede his or her progress toward demonstrating suitability for tenure may make a written request to the Dean for extension of the probationary period, specifying the reason(s) for the request. Personal circumstances that may justify the extension include, but are not restricted to, military service, disability or illness of the faculty member; status of the faculty member as a principal caregiver of a preschool child, including pausing the clock for childbirth or adoption; or status of the faculty member as a principal caregiver of a disabled, elderly, or ill member of the family of the faculty member.

- Absent extraordinary circumstances the maximum duration of extension, whether continuous or non-continuous, is one academic year.
- In addition, for similar reasons, a faculty member may choose a period of reduced time employment. In these circumstances the probationary period to tenure may be extended proportional to the reduced time nature of the faculty member's employment, but for a period of reduced time employment no longer than 3 years.
- It is the responsibility of the faculty member to justify the request and provide appropriate documentation. Clock extensions are only approved if requested in anticipation of an eligible event or at the time an event occurs.

Process for Awarding Tenure

Tenure is proposed by Department Chairs or Division or Institute Directors after peer review within the respective department, division or institute by the tenured members of its internal promotion and tenure committee. Applications for tenure are evaluated by the tenured members of the Promotion and Tenure Committee (P&T Committee) who advise the Dean. The recommendation to award tenure is made by the Dean to the Chief Executive Officer/Executive Vice President for Health Affairs, who makes a recommendation to the President of the University. The President of the University then makes his or her recommendation to the Wake Forest University Board of Trustees, which is the body authorized to grant tenure. If the P&T Committee does not recommend that tenure be granted its decision may be appealed as outlined in the process on page 4.

Guidelines for Awarding Tenure

Tenure may be awarded at the rank of Associate Professor or Professor. Evaluation for promotion of a tenure track faculty member to the rank of Associate Professor generally includes evaluation for tenure.

The specific criteria for promotion and tenure of tenure track faculty members are detailed in the section on Promotion.

Post-Tenure Review

A tenured faculty member is expected to uphold the core missions of Wake Forest University School of Medicine and to continue to perform at a high level including demonstrating productivity in the areas of research, teaching and service as relevant for the individual concerned. Tenured faculty members are subject to routine annual reviews by their Chairs, Division or Institute Directors for the purposes of evaluating performance and planning for the succeeding year. During this review specific goals are set, usually with a one-year timeline. These annual reviews of all faculty members are part of the routine work and strategic planning responsibilities of the Chairs and Directors.

In the rare event that a faculty member accrues two unsatisfactory annual reviews within any five year period, a more extensive summative review is triggered. This review is conducted by the Tenure Review

Committee (a standing committee of the faculty with membership consisting of senior tenured faculty members not currently serving on the P&T Committee). The Tenure Review Committee is advisory to the Dean and its activities, deliberations and recommendations are confidential, with communication limited to a report to the Dean and the Chair/Director.

The “triggered” post-tenure review is used to provide guidance for corrective action by the faculty member and to assist with improvement of performance leading to recovery of the full scholarly functions of a tenured faculty member. A request for review is submitted by the Chair/Director to the Tenure Review Committee. The request includes sufficient detail justifying the unsatisfactory annual reviews and a proposal for corrective action. The plan submitted by the Chair/Director must clearly state objective goals related to the area of deficiency to be met. A faculty member should have the opportunity to comment in response to evaluations, to provide his or her perspective to the Tenure Review Committee and to participate in the formation of a corrective action plan.

The Tenure Review Committee reviews the faculty member’s accomplishments over the preceding five years with documentation of scholarly contributions, teaching activities and service to the School of Medicine and larger academic community provided by the faculty member. The Committee may recommend either no corrective action or corrective action and submits a report to the Dean and the Chair/Director.

If the Dean approves a corrective action plan the faculty member must participate in the specified developmental activities and, to the extent possible, the institution commits to provide the resources and opportunities approved in the plan to assist the faculty member in achieving success. Successful participation in a corrective plan is dependent on the faculty member performing the duties expected of a tenured faculty member and not solely linked to obtaining funding. Persistent failure to correct deficiencies in performance or refusal to participate in a plan may result in the initiation of tenure revocation proceedings on the grounds of failure to perform the duties of a tenured faculty member.

Tenure Revocation

Tenure may be revoked only by action of the Wake Forest University Board of Trustees, in accordance with the procedure prescribed by the Trustees. Prior to invoking any tenure revocation proceedings, the School of Medicine’s Tenure Review Committee reviews any recommendations for initiation of tenure revocation proceedings. The Committee’s recommendations are made available to the Committee on Academic Freedom and Responsibility as they evaluate the request for tenure revocation, according to the University’s procedure.

The Dean, and for clinical faculty members, the President and Chief Operating Officer of Wake Forest Baptist Health, may request the revocation of tenure of a faculty member for adequate cause by the procedure specified in the Wake Forest University policy on Tenure Revocation.

Financial Exigency

Tenure may be revoked under extraordinary circumstances because of a bona fide financial exigency, i.e., an imminent financial crisis which threatens the survival of the School of Medicine as a whole. Financial exigency may only be invoked by action of the Wake Forest University Baptist Medical Center Board of Directors.

A faculty member with tenure will not have his/her appointment terminated in favor of retaining a non-tenured faculty member in his/her department.

In cases of termination because of financial exigency, the position of the faculty member will not be filled by a replacement within the three (3) year period following the termination, unless the released faculty member has been offered reinstatement and a reasonable time in which to accept or decline.

Revocation of Tenure for Cause

Tenure may be revoked by the Board of Trustees of Wake Forest University for adequate cause.

Examples of adequate cause include, but are not limited to:

- Material failure to perform faculty duties;
- Conduct which substantially impairs the faculty member's fulfillment of institutional responsibilities;
- A finding of scientific misconduct;
- For clinical faculty, failure to maintain an unrestricted license to practice medicine in the State of North Carolina and/or failure to maintain privileges with Wake Forest Baptist Medical Center or other designated hospitals as required by the School of Medicine;
- Failure to maintain a registration number from the Drug Enforcement Agency for the dispensing and prescribing of controlled substances, if appropriate to medical practice;
- Debarment or suspension from performing research under the Federal Food, Drug and Cosmetic Act or by the National Institutes of Health or any other state or federal agency;
- Conviction of or plea of nolo contendere to a felony or a criminal offense involving moral turpitude or relating to research or the practice of medicine; or
- Exclusion from participation in the Medicare or Medicaid programs.

Tenure Revocation Process.

Tenure revocation proceedings are specified in policies of Wake Forest University.