



# Appointments & Promotions Guidelines and Requirements (APGAR)

*Approved by Executive Faculty, November 2005; Ratified by WUSM Faculty, December 2005  
Amended April 30, 2014*

*Revision approved by Executive Faculty, January 3, 2024; Ratified by WUSM Faculty, March 4, 2024*

## **I. PREAMBLE<sup>1</sup>**

The position of Washington University School of Medicine (WUSM) as a premier institution depends on the timely and fair consideration of its faculty with respect to appointment and promotion. This is achieved by three types of academic appointments which recognize faculty members as being on the Investigator, Clinician, or Research tracks depending on their role at the School. Only faculty on the Investigator Track may be granted tenure. Appointment and promotion to the Investigator Track are based primarily on research, while appointment and promotion to the Clinician Track are based on skills and contributions across the Clinician Track Pathways. Excellence in teaching is an important consideration for faculty on both the Investigator and Clinician Tracks. Appointment and promotion to the Research Track is based primarily on contributions to basic, clinical, or educational research programs.

The School of Medicine's culture of collaboration and inclusion recognizes that by bringing together people from varying backgrounds, experiences and areas of expertise we can develop richer solutions to complex scientific questions, train culturally sensitive clinicians and provide health care in a way that best serves our diverse patient population and builds a diverse and inclusive community in which everyone is welcomed and valued. All faculty being considered for promotion are expected to sustain professionalism in all aspects of their work. In addition to adherence to the Washington University Code of Conduct, this includes active contributions to a culture of inclusive excellence through demonstrated respect for patients, learners, colleagues, and staff; evidence of continuous learning; respect for diverse viewpoints and encouragement of questions and debate; and recognition and management of biases and prejudices.

Selection of the track most appropriate for a faculty member shall be determined by the department head, or their designee, in consultation with the faculty member. Selection of a track takes place at the time of initial appointment to the faculty. Transfers between any of the tracks at the Instructor level can be initiated by the Department Head, with written consent of the faculty member and approval by the Dean. Transfers between tracks at the Assistant Professor level should be carefully justified, and generally should occur before the end of the fifth year after appointment as Assistant Professor. No transfer shall occur without the written consent of the faculty member. Transfer between tracks at the Assistant Professor level and higher requires a recommendation to the Dean by the department head and a medical school committee composed of senior faculty leaders. The transfer must then be approved by the Executive Faculty. Promotion cannot be considered at the same time as a transfer of track. See Appendix A for further details.

<sup>1</sup> These Guidelines apply to faculty members in all departments, programs, and non-departmental divisions of the School of Medicine, with the exception of voluntary faculty. Faculty having a primary or dual appointment in a program or nondepartmental division must have a secondary or dual appointment in a Medical School department, and that department head shall chair the appointments and promotions committees for said faculty. In all other respects, provisions in these Guidelines and its appendices pertaining to departments and department heads also apply to programs and nondepartmental divisions and to their respective directors.

Each department in the School shall have an organized evaluation procedure whereby the department head, or designee, meets with each faculty member on a regular basis to discuss their annual goals, career development, performance, and progress toward promotion. These reviews shall be conducted in accordance with the Faculty Review Policy, which is attached to these Guidelines as Appendix B. It is essential that the review be carefully and accurately documented by the department head or designee. In addition to the annual review, Assistant Professors on all tracks should have an interim appraisal performed 3-4 years after attaining the rank of Assistant Professor. This schedule may be appropriately adjusted for part-time faculty. The interim appraisal is typically more detailed than the annual review and is designed to provide specific feedback to the faculty member about progress towards promotion. For the Investigator Track, progress towards tenure is discussed. For the Clinician Track, preliminary selection of a Pathway should also be discussed in the interim appraisal. The interim appraisal also shall include consideration of the appropriateness of the faculty member's track designation. Typically, the interim appraisal should include senior faculty from within and sometimes outside of the department. A written report of the appraisal shall be generated by the department head, or designee, and signed by the department head and the faculty member.

The process for faculty appointments and promotions shall be in accordance with the Faculty Promotions Policy (attached as Appendix A). Faculty members who are not recommended for promotion or do not have their appointments renewed have the right to appeal such decisions in accordance with the procedures set forth in Section VI of these Guidelines. Policies governing non-renewal of appointments of part-time faculty members who work at least half-time shall be the same as those for full-time faculty members.

In addition to the specific criteria set forth below in these Guidelines, promotions and tenure decisions may involve institutional criteria such as the financial resources and academic needs of the School of Medicine and its departments, programs, and non-departmental divisions.

Although these Guidelines apply generally across the School, their specific application may vary in detail by department. Each department may elect to further clarify the expectations for each track and rank, as long as such clarifications are consistent with these Guidelines.

## **II. INITIAL APPOINTMENT TO THE WUSM FACULTY**

The process for faculty appointments shall be in accordance with the Faculty Promotions Policy (attached as Appendix A to these Guidelines). If an individual has not had a prior faculty appointment at any institution, the initial appointment should typically be at the Instructor or Assistant Professor level. Whether the initial appointment is as Instructor or Assistant Professor will depend upon the extent of previous training and the faculty member's readiness to begin an independent career, as determined by the department head, or their designee, in consultation with the faculty member. Individuals recruited from faculty positions at other institutions or from other established professional positions may be appointed at any rank, as appropriate, after taking into consideration their qualifications and previous rank.

### **III. APPOINTMENT & PROMOTION TO THE INVESTIGATOR TRACK**

Faculty members on the Investigator Track lead basic biological, biomedical, clinical, or educational investigation, and/or entrepreneurial activities, and accomplishment in this realm is the primary basis for promotion on the Investigator Track.

Instructors and Assistant Professors on the Investigator Track will receive one-year renewable appointments. In the unusual situation in which an Associate Professor is not tenured, they will also receive one-year renewable appointments. Written notice that the appointment of an Investigator Track faculty member in their probationary period is not to be renewed shall be given in advance of the expiration of the appointment in accordance with Section IV.B.4 of the Academic Freedom, Responsibility, and Tenure document.

The tenure probationary period at the School of Medicine is a maximum of ten years and commences upon appointment or promotion to the rank of Assistant Professor. If the initial appointment as Assistant Professor was at another institution, the number of years counting towards the tenure clock are specified at the time of the appointment to Washington University by completion of a Tenure Status Form co-signed by the Department Head and the faculty member. This is to be in accordance with Section IV.B.2 of the policy on Academic Freedom, Responsibility and Tenure. Tenure is customarily granted at the time of promotion to Associate Professor.

Appointment or promotion to a tenured position is initiated by the faculty member's department head, often with communication from the tenured members of the department. Recommendations for tenure are based primarily on scientific excellence and clear impact on the candidate's field. Tenure recommendations should be supported by opinions obtained from well-respected, informed colleagues (both within and outside the Washington University community) who can provide a critical and unbiased assessment of the candidate's contributions. Recommendations for tenure are made by committees composed of senior WUSM faculty leaders (see Appendix A), with subsequent approval by the Executive Faculty and the Chancellor. Tenure is ultimately conferred by the Board of Trustees of the University.

Sustained excellence in scholarly investigation is the cornerstone of an Investigator Track candidate's record. Contributions to education, clinical practice (as applicable), and service are also considered; expectations for scientific productivity are commensurate with the candidate's contributions across the primary missions of the School of Medicine. More specific criteria for appointment and promotion to each rank on the Investigator Track are set forth below.

#### **A. Assistant Professor**

For faculty starting at the Instructor level, the major criterion for promotion to Assistant Professor on the Investigator Track is demonstration of progress towards development of an independent investigative program. Participation in teaching and other educational activities, as well as clinical activities (where applicable), shall be considered. Ordinarily, promotion to Assistant Professor will occur within three years of initial appointment as Instructor. Faculty members whose initial appointment is as Assistant Professor are expected to establish an independent research program in a timely manner.

## **B. Associate Professor**

Washington University expects that Associate Professors on the Investigator Track should have sufficient stature to be considered as leaders in their respective research fields by the scientific or medical professional community. Appointments and promotions to Associate Professor on the Investigator Track are based primarily on the original scholarly contributions of the faculty member since their appointment or promotion to the rank of Assistant Professor, and are evaluated by the following criteria (listed in the typical order of importance):

### **1. Investigation and Other Scholarly Accomplishments**

In order to be promoted to Associate Professor on the Investigator Track, a faculty member must be responsible for an outstanding body of original basic biological, biomedical, clinical, translational, or educational research which has demonstrable impact on the field. Elements of this achievement typically include formulation of original research ideas, setting up the research methodology, recruiting and retaining necessary personnel, obtaining competitive peer-reviewed research funding, presentations at significant scientific meetings, and publications in high-quality peer-reviewed journals or highly competitive conference proceedings in which the faculty member is typically the first or senior author. The quality and impact of the body of work, rather than simply the number of publications, are of paramount importance. Impact refers to the influence that the work has on academic advances in basic understanding, methods, theory, and/or application in the scientific field, and/or the benefits of the research to human health and/or society.

Evaluation of scholarly work includes individual achievements (e.g. principal investigator on grants, first and senior authorships on papers), as well as important and original contributions as a member of a scientific team. Contributions to team science are evaluated by the originality, creativity, indispensability, leadership, and other unique abilities that are specifically provided by the candidate faculty member. Leadership in team science may be recognized by multi-principal investigator roles, or other roles in which the faculty member is responsible for significant contributions to the scientific content.

Development of intellectual property and transferring that technology or knowledge towards commercially viable products is another category of impactful activities that can merit promotion and conferral of tenure. Entrepreneurship is a critical step in translating research findings into real-world impact. Therefore, activities such as the development and disclosure of intellectual property, patents, and copyrights, their use and licensing, and entity creation can be a major component of the candidate's professional impact.

Other evidence of independent investigation and scholarly accomplishment can include senior authorship or editor roles of textbooks, book chapters, and scholarly reviews acknowledged in the field. Curriculum development and implementation of novel teaching or assessment methodologies that generally advance educational science are also considered important scholarly activities. Authorship of non-traditional educational materials (e.g., health agency publications, computer programs, or web-based educational modules) or research materials (e.g., development of databases and research software) may also be considered.

## **2. Teaching and mentorship**

Excellence in teaching and mentorship is an important consideration for promotion to Associate Professor in the Investigator Track. Appropriate activities include, but are not limited to, leading or participating in didactic courses, mentorship of students and trainees, participation on thesis committees and career development committees, development of novel educational materials, participation on key education-focused committees, leadership roles on training grants (e.g., T32, R25, K12) and teaching in the clinical arena.

## **3. Evidence of Regional and National Recognition**

Since Associate Professors on the Investigator Track are expected to be leaders in their respective fields, they must have achieved regional and national recognition. Evidence of this level of recognition can include, but is not limited to:

- a. Invitation as a speaker or visiting professor at other academic institutions.
- b. Invited presentations at regional and national meetings.
- c. Membership and positions of leadership in professional societies.
- d. Editorial board membership and other editorial review assignments.
- e. Research grant review invitations; peer review for relevant journals.
- f. Consultative positions with government, certifying, accrediting and/or private agencies (study sections, foundations, NIH, ACGME, CDC, WHO, etc.).
- g. Public and community engagement and/or advocacy regarding the candidate's scientific field.
- h. Service as an organizer of regional, national, or international meetings or conference symposia.
- i. Service to a professional society (e.g. committee appointments).
- j. Regional or national awards.

## **4. Assessment of Clinical Excellence (where applicable)**

Clinical activities should complement the Investigator Track candidate's research portfolio. Assessment of this work can include, but is not restricted to:

- a. Evaluation by senior faculty members in the specialty or subspecialty of the candidate, as well as input from other physicians and/or health professionals and trainees who have interacted with the candidate and can judge his/her abilities.
- b. Recognition of unique expertise by superior performance of specialized clinical services.

## **5. Service to the Medical School, University and Community**

All faculty members are expected to participate in service activities that benefit the School of Medicine, the University, and the broader Community, though these activities do not in themselves form a sufficient basis for promotion. Evaluation of service activities is based on the level of time commitment, expertise, and responsibilities associated with this work. These activities can include, but are not limited to:

- a. Service on medical school, hospital, health system, departmental, or divisional committees.
- b. Administrative roles in the medical school, hospital, health system, department, program or division.
- c. Important contributions of service to a research or entrepreneurial program, and/or to a clinical or educational program.
- d. Contributions to mission-critical institutional initiatives (e.g., activities that foster inclusive excellence; public engagement; etc.).
- e. Service to professional societies.

## **C. Professor**

Appointment or promotion of a faculty member to the rank of full Professor on the Investigator Track is an honor that requires careful evaluation. A Professor at Washington University should make distinguished contributions to knowledge and thus be nationally or internationally recognized for investigative excellence as a leader in their specialty or subspecialty. Research achievements and trajectory are the primary considerations for promotion to Professor on the Investigator Track. Contributions to the educational mission, as well as service activities, are expected of all faculty; excellence in these activities is not in itself a sufficient basis for promotion.

### **1. Investigation and/or Entrepreneurship**

Promotion to the rank of Professor is based primarily on evidence of sustained, high-quality research (e.g. robust peer-reviewed grant funding and scholarly products accomplished since the candidate's promotion to Associate Professor) and/or entrepreneurship (company development, licensing, patents, etc.) with unequivocal scientific impact. As described above for Associate Professors, Professors' scientific contributions may be independent or performed as integral/leading members of scientific and/or entrepreneurial teams.

### **2. Teaching and Mentorship**

Excellence in teaching and mentorship is an important consideration for promotion to Professor in the Investigator Track. Appropriate activities include, but are not limited to, leading or participating in didactic courses, mentorship of students, trainees, and junior faculty members, participation on thesis committees and career development committees, development of novel educational materials, participation on key education-focused committees, leadership roles on training grants (e.g. T32, R25, K12) and teaching in the clinical arena where applicable.

### **3. Evidence of National and International Recognition**

Since Professors on the Investigator Track are expected to be leaders in their fields, they must have earned national and, usually, international recognition. This level of recognition can include, but is not limited to:

- a. Invitations as a speaker or visiting professor at peer academic institutions (in the USA and/or internationally).
- b. Invited presentations at national and international meetings.
- c. Positions of leadership (often elected) in national and international professional societies.
- d. Editorial board membership and/or frequent manuscript review for high-impact journals; journal editor positions; study section service.
- e. Consultative positions with government, certifying, accrediting and/or private agencies (foundations, NIH, ACGME, CDC, WHO, etc.).
- f. Public and community engagement and/or advocacy regarding the candidate's scientific field.
- g. Service as an organizer of national or international meetings or conference symposia.
- h. Prestigious awards that recognize excellence in scholarship, mentorship, etc.

#### **4. Assessment of Clinical Excellence (where applicable)**

Clinical activities should complement the candidate's research portfolio. Assessment of this work can include, but is not restricted to:

- a. Evaluation by senior faculty members in the specialty or subspecialty of the candidate, as well as input from other physicians and/or health professionals and trainees who have interacted with the candidate and can judge their clinical activities.
- b. Recognition of unique expertise by superior performance of specialized clinical services.

#### **5. Service to the Medical School, University and Community**

All faculty members are expected to participate in service activities that benefit the School of Medicine, the University, and the broader Community. Candidates for promotion to the rank of Professor should demonstrate increasing involvement – with demonstrated leadership – in service roles. Evaluation of service activities is based on the level of time commitment, expertise, and responsibilities associated with this work. These activities can include, but are not limited to:

- a. Service on university, medical school, hospital, health system, departmental, or divisional committees.
- b. Administrative roles in the medical school, hospital, health system, departmental, program or division.
- c. Important contributions of service to a research program and/or to an entrepreneurial program, and/or to a clinical or educational program.
- d. Contributions to mission-critical institutional initiatives (e.g., activities that foster inclusive excellence; public engagement; etc.).
- e. Service to professional societies.

### **IV. APPOINTMENT AND PROMOTION TO THE CLINICIAN TRACK**

The Clinician Track provides a mechanism to recognize and reward faculty at WUSM who excel in patient care, education, patient safety and quality improvement, clinical administration, or who play an important role in entrepreneurial and/or research functions. In some circumstances, faculty on the Clinician Track may not have direct patient care responsibilities. These non-clinicians include, for example, faculty members whose primary focus is to develop, organize, and deploy major educational programs or who provide other contributions that enhance or enable the clinical mission and do not involve direct patient care. Faculty members on the Clinician Track are evaluated on the basis of their individual skills and unique contributions to the University. Assessment of faculty on the Clinician Track focuses on the candidate's demonstrated excellence and impact within their area of professional concentration (the Clinician Track Pathway).

While achievement of regional, national, or international reputation or publications shall receive appropriate credit, these serve mainly to demonstrate that the candidate's work is outstanding and impactful. Demonstrable professional excellence of faculty on the Clinician Track does not necessarily result in external reputation or published manuscripts. Therefore, *external professional reputation and published manuscripts are not required for promotion on the Clinician Track.*

Instructors and Assistant Professors on the Clinician Track will receive one-year renewable appointments. Written notice that an appointment is not to be renewed shall be given to Instructors and Assistant Professors in advance of the expiration of their appointments in accordance with Section IV.B.4

of the Academic Freedom, Responsibility, and Tenure document. Associate Professors on the Clinician Track will receive rolling four-year appointments renewable annually. Written notice that an appointment is not to be renewed shall be given to Associate Professors at least three years in advance of the expiration of their appointments. Full Professors on the Clinician Track will initially receive rolling five-year appointments renewable annually; after 10 years as a Professor, the faculty member will receive rolling six-year appointments renewable annually. Written notice that an appointment is not to be renewed shall be given to full Professors holding five-year appointments at least four years in advance of the expiration of their appointments; five years advance written notice is required for full Professors holding six-year appointments.

There are multiple pathways through which faculty on the Clinician Track may be recognized for excellence and impactful contributions to their fields. The majority of Clinician Track faculty careers will be represented in the pathways described in Table 1, below. The candidate’s declared Pathway represents the *primary* focus or impact of their career; activities that fall outside of the chosen pathway may also be reported within the promotion packet. *To recognize careers that do not fall within one of these individual Pathways, candidates may work with their Department Head or designees to develop an individualized pathway.*

Assistant Professors on the Clinician Track should discuss their intended pathway with their Department Head or their designee. The pathway will be discussed and reviewed at the time of Interim Appraisal and *one* pathway will be formally declared at the time of proposed promotion to Associate Professor; the promotion packet will be evaluated according to the declared pathway. If a faculty member’s career trajectory shifts, they may change pathways after discussion with their Department Head or their designee. Unlike the protocol for changing Tracks, changing pathways does not require formal review beyond the level of the Department.

| <b>Table 1: Descriptions of Clinician Track Pathways</b>       |   |
|--|---|
| <b>Clinician Track Pathway</b><br>(See text below for details) | <b>Excellence Demonstrated By*:</b>   |
| 1) Educator  | <ul style="list-style-type: none"> <li>• Curriculum Development</li> <li>• Learner Assessment</li> <li>• Direct Teaching</li> <li>• Mentorship</li> <li>• Educational Scholarship</li> <li>• Education Leadership</li> <li>• Excellence as director of a clerkship, residency, fellowship or other training program</li> </ul>  |
| 2) Quality Improvement / Patient Safety                        | <ul style="list-style-type: none"> <li>• Development of quality guidelines and initiatives with local, regional or national impact</li> <li>• Development and implementation of best practices &amp; innovative methods of care with documented impact</li> <li>• Leadership of patient safety and/or clinical operations initiatives</li> <li>• Scholarly products, editorial service, and/or teaching focused on quality improvement or patient safety</li> </ul> |



|                              |  |
|------------------------------|--|
| 3) Expert Clinician          | <ul style="list-style-type: none"> <li>• Evidence of exemplary provision of clinical services and delivery of expert, compassionate patient care</li> <li>• Recognition and leadership within or beyond the primary practice location (e.g. clinic, service line, hospital)</li> <li>• Local/regional/national patient referrals</li> <li>• Creation and/or leadership of innovative clinical programs</li> <li>• Excellent patient safety and outcome metrics</li> <li>• Awards for clinical excellence</li> </ul>  |
| 4) Administrative Leader     | <ul style="list-style-type: none"> <li>• Outstanding service to a Division or Department – e.g. as Service Line Chief, Clinical Program Director, Clinical Operations leader, Training Program Director, Clinical Informatics or Data Science/Analytics leader – and/or to the School of Medicine, Health System, Hospital, and/or University</li> <li>• Leadership of professional organizations (or high-profile committee or board membership)</li> <li>• Consultation with government organizations (e.g. CDC, UN, WHO)</li> <li>• Work with foundations (consultant, board member, or other key roles)</li> </ul> |
| 5) Research Clinician        | <ul style="list-style-type: none"> <li>• Contributions to collaborative research</li> <li>• Development of research protocols</li> <li>• Published scholarly products</li> <li>• Research funding (intramural or extramural; usually as co-investigator)</li> <li>• Presentations at regional or national meetings</li> <li>• Clinical trial participation (site PI, core leader, patient recruitment, etc.)</li> </ul>  |
| 6) Entrepreneurial Clinician | <ul style="list-style-type: none"> <li>• Contributions to the development &amp; disclosure of intellectual property, use and licensing, entity creation, Innovation &amp; Entrepreneurship (I&amp;E) career preparation, and I&amp;E engagement.</li> <li>• Contributions to development of copyrights and patents.</li> <li>• Company contracts – testing new devices, diagnostics, etc.</li> </ul>   |

**\*These are *examples* of achievement and are not requirements; these lists are not comprehensive but are meant to be illustrative of potential demonstrations of excellence in the Clinician Track Pathways.**

### **A. Assistant Professor**

When Instructors are proposed for promotion to the rank of Assistant Professor, any activities related to the above-described Clinician Track Pathways in which the faculty member has engaged will be considered. For Instructors with clinical responsibilities, additional criteria for promotion to Assistant Professor on the Clinician Track include competence in carrying out clinical duties, maturation of clinical skills and assumption of increased clinical responsibility. Ordinarily, promotion to Assistant Professor will occur within three years of initial appointment as Instructor.

### **B. Associate Professor**

Clinician Track faculty will declare *one* Pathway in preparation for their nomination for appointment or promotion to the rank of Associate Professor. The excellence and impact of the faculty member’s work will be assessed according to metrics relevant to their declared Pathway. While achievement of regional,

national, or international reputation and published manuscripts can be taken into consideration, these are not required for promotion on the Clinician Track.

### **1. Assessment of Clinical Excellence (where applicable)**

All faculty members who engage in direct patient care should demonstrate delivery of expert, compassionate clinical care grounded in deep knowledge of the literature. Faculty who select the Expert Clinician Pathway will demonstrate leadership and particular excellence in this area (see below).

Assessment of this work can include, but is not restricted to:

- a. Evaluation by senior faculty members in the specialty or subspecialty of the candidate, as well as input from other physicians and/or health professionals and trainees who have interacted with the candidate and can judge their clinical activities.
- b. Recognition of unique expertise by superior performance of specialized clinical services.

### **2. Teaching and mentorship**

All faculty members are expected to contribute to the educational mission; those who select the Educator Pathway will demonstrate leadership and depth of knowledge in this realm (see below). Excellence in teaching and mentorship is an important consideration for promotion to Associate Professor in the Clinician Track. Appropriate activities include, but are not limited to, teaching of medical students, residents, fellows, and graduate students in a classroom setting or one-on-one in clinical care or laboratory settings, leading or participating in didactic courses, advising and mentorship of students and trainees, participation on career development committees, development of novel educational materials, participation on education-focused committees, etc.

### **3. Service to the Medical School, University and Community**

All faculty members are expected to participate in service activities that benefit the School of Medicine, the University, and the broader Community. Evaluation of service activities is based on the level of time commitment, expertise, and responsibilities associated with this work. These activities can include, but are not limited to:

- a. Service on medical school, hospital, departmental, or divisional committees.
- b. Administrative or operational roles in medical school, hospital, departmental, program or divisional activities.
- c. Contributions to mission-critical institutional initiatives (e.g., activities that foster inclusive excellence; public and community engagement; advocacy etc.).
- d. Service to professional societies.

### **4. Clinician Track Pathways:**

Faculty will select *one* professional Pathway, in consultation with their Department Head or their designee. The Pathways described below reflect the career trajectories of most Clinician Track faculty. *In cases where the candidate's career focus does not fall within one of these categories, faculty members may work with their Department Head or designee to develop an individualized pathway.*

#### *1. Educator*

Education is central to the mission of WUSM. This pathway should be selected by faculty whose professional impact centers on education. This impact should extend beyond the expected direct teaching that is a feature of most faculty positions. *To be considered for appointment or promotion to Associate Professor on the Educator pathway, the faculty member should demonstrate evidence of their*

expertise, commitment to teaching, and the impact of their educational activities. These may be demonstrated through curriculum development; leadership of a training program, clerkship or course; educational scholarship; membership in the Academy of Educators; awards for Teaching/Education; superior outcomes of students and mentees, etc.

#### II. *Quality Improvement / Patient Safety*

Quality Improvement & Patient Safety (QI & PS) activities are an important part of the clinical mission of WUSM and can be enhanced by specific academic training and expertise, skilled collaboration, and multidisciplinary work. This pathway should be selected by faculty whose professional impact centers on QI & PS. *To be considered for appointment or promotion to Associate Professor*, the faculty member should demonstrate evidence of the excellence of their QI & PS activities. This may be demonstrated through participation and leadership of quality guidelines and initiatives with local impact (within or across Divisions & Departments) or regional impact; development and teaching of QI & PS curricula, training programs or certifications; QI & PS or clinical operations administrative roles; awards for QI & PS, etc. Presentations and publications related to QI & PS activities can enhance the case for promotion but are not required.

#### III. *Expert Clinician*

Outstanding clinical care is an intellectually rigorous activity that is grounded in deep knowledge of the literature, development and testing of hypotheses, and formulation of rigorous conclusions. Faculty on the Expert Clinician pathway spend the vast majority of their professional effort on direct patient care. Expert Clinicians are clinical role models who are recognized for their clinical expertise, exemplary interactions with patients, staff and other colleagues, and excellent work within the healthcare system. Through their work, Expert Clinicians enable WUSM to provide a level of patient care and service that exceeds our peers and distinguishes the Hospital and Health System on a regional and/or national level.

*To be considered for appointment or promotion to Associate Professor*, the candidate should demonstrate evidence of the impact of their clinical work. Impact may be reflected in the candidate's leadership, originality, indispensability, creativity, and/or unique abilities. There are numerous approaches to demonstration of exemplary provision of clinical services and delivery of expert, compassionate care. Examples may include patient safety or outcome metrics; local/regional/national patient referrals; documentation of work on innovative clinical programs or techniques; clinical volume; honors and awards; letters of support from referring providers and senior colleagues; results of 360° evaluations; leadership roles within the primary practice location (e.g. clinic, service line, hospital); awards for clinical excellence, etc.

#### IV. *Administrative Leader*

The Administrative Leader pathway recognizes faculty whose professional impact centers on administrative duties. *To be considered for appointment or promotion to Associate Professor*, faculty on this pathway will typically demonstrate outstanding service to a Division, Department and/or the Health System (e.g. as Service Line Chief, Clinical Program Director, Clinical Operations leader, Training Program Director, Clinical Informatics leader, etc.), and/or significant leadership roles for regional or national organizations, and/or consultation with government or non-governmental organizations (e.g. CDC, NIH, WHO, UN, etc.), and/or work with private foundations (e.g. consultant, board member, or other key roles), etc.

## V. *Research Clinician*

Research is one of the core missions of WUSM. The Research Clinician pathway is designed for *clinicians* whose work is key to the execution of research projects. Candidates demonstrate a robust portfolio of contributions to collaborative research. In contrast to the Investigator Track, the emphasis for candidates in the Research Clinician pathway is *facilitating and contributing to* research programs. *To be considered for appointment or promotion to Associate Professor*, faculty in this pathway may demonstrate development of research protocols; clinical trial participation (e.g. as site PI or study core leader, patient recruitment, etc.); roles in informatics or data analytics cores and shared resources that enable or facilitate research programs; published scholarly products and presentations at regional or national meetings will enhance the case for promotion but are not required. These faculty members may also be co-investigators, but not necessarily principal investigators, on intramural or extramural grants.

## VI. *Entrepreneurial Clinician*

Entrepreneurship is a critical mechanism by which scientific discovery is translated into real-world impact. *To be considered for appointment or promotion to Associate Professor* on this pathway, the candidate should demonstrate deep engagement with entrepreneurial activities. This may be demonstrated through contributions to commercialization of new products or technologies; participation in applications for patents through WUSM; participation in development and disclosure of intellectual property; collaboration on extramural research grants in support of entrepreneurship (e.g. SBIR/STTR or equivalent); service on relevant faculty committees; awards for innovation and entrepreneurship, etc.

## C. Professor

Appointment or promotion of a faculty member to full Professor on the Clinician Track is an honor that requires careful evaluation. A Professor at Washington University should demonstrate sustained excellence and unequivocal impact in their contributions to the clinical, educational, and/or research missions. Candidates are assessed based on their contributions since the time of their promotion to Associate Professor. The Clinician Track Pathways described above apply for faculty who are appointed or promoted to the rank of Professor.

While achievement of regional, national, or international reputation and publications can be taken into consideration, these are not required for promotion on the Clinician Track.

### 1. **Assessment of Clinical Excellence (where applicable)**

All faculty members who engage in direct patient care should demonstrate delivery of expert, compassionate clinical care grounded in deep knowledge of the literature. Faculty who select the Expert Clinician Pathway will demonstrate leadership and particular excellence in this area (see below).

Assessment of this work can include, but is not restricted to:

- a. Evaluation by senior faculty members in the specialty or subspecialty of the candidate, as well as input from other physicians and/or health professionals and trainees who have interacted with the candidate and can judge their clinical activities.
- b. Recognition of unique expertise by superior performance of specialized clinical services.

## **2. Teaching and mentorship**

All faculty members are expected to contribute to the WUSM educational mission; those who select the Educator Pathway will demonstrate specific focus in this realm (see below). Excellence in teaching is an important consideration for promotion to Professor in the Clinician Track. Appropriate activities include, but are not limited to, teaching of medical students, residents, fellows, and graduate students in a classroom setting as well as one-on-one in clinical or laboratory settings, leading or participating in didactic courses, mentorship of students and trainees, participation on career development committees, development of novel educational materials, participation on education-focused committees, etc.

## **3. Service to the Medical School, University and Community**

All faculty members are expected to participate in service activities that benefit the School of Medicine, the University, and the broader Community. Candidates for promotion to the rank of Professor should demonstrate increasing involvement – with demonstrated leadership – in service roles. Evaluation of service activities will recognize the level of time commitment, expertise, and responsibilities associated with this work. These activities can include, but are not limited to:

- a. Service to – and leadership of – university, medical school, hospital, health system, departmental, or divisional committees.
- b. Leadership roles in university, medical school, hospital, health system, departmental, program or divisional activities.
- c. Contributions to mission-critical institutional initiatives (e.g., activities that foster inclusive excellence; public and community engagement; etc.).
- d. Service to professional societies.

## **4. Clinician Track Pathways**

### *I. Educator*

*To be considered for appointment or promotion to Professor*, the faculty member should demonstrate evidence of their *sustained* commitment and expertise and the impact of their educational activities. These may be demonstrated through innovative curriculum development; leadership of a major training program or course; high-impact educational scholarship; membership in the Academy of Educators; national awards for Teaching/Education, etc.

### *II. Quality Improvement / Patient Safety*

*To be considered for appointment or promotion to Professor*, the faculty member should demonstrate evidence of the impact and progressive leadership in their QI & PS activities. This may be demonstrated through leadership of quality guidelines and initiatives with regional, national, and/or international impact; national and international QI & PS leadership roles (e.g. for specialty societies, or collaborations across disciplines, National Quality Forum, etc.), leadership of QI & PS curricula, training programs or certifications; QI & PS administrative roles; awards for QI & PS; etc. Invited presentations and publications related to QI & PS activities can enhance the case for promotion but are not required.

### *III. Expert Clinician*

*To be considered for appointment or promotion to Professor*, the faculty member should demonstrate evidence of the *sustained* impact of their clinical care and progressive leadership since their promotion to Associate Professor. Candidates for appointment or promotion to the rank of Professor will often have earned recognition beyond their primary practice location but not necessarily outside of WUSM; external reputation is a positive factor but is not required for promotion. Relevant activities for Professor

candidates could include service in leadership roles (e.g. clinic site, service line, clinical programs, hospital committees). Evidence of exemplary provision of clinical services and delivery of expert, compassionate care can include outstanding patient safety or outcome metrics; regional/national/international patient referrals; development and implementation of innovative approaches to clinical care; letters of support from referring providers; results of 360° evaluations; awards for clinical excellence, etc.

#### IV. *Administrative Leader*

*To be considered for appointment or promotion to Professor*, faculty on this pathway will demonstrate *sustained* and outstanding service to a Division or Department (e.g. as Service Line Chief, Clinical Operations leader, Division Chief or Department Vice Chair, Training Program Director, Clinical Informatics or Data Science/Analytics leader), and/or leadership roles at the School of Medicine, Health System, or University level, and/or leadership roles (usually elected) for national organizations, and/or sustained consultative roles with government organizations (e.g. CDC, WHO, UN, NIH), and/or work with private foundations (e.g. consultant, board member, or other key roles).

#### V. *Research Clinician*

*To be considered for appointment or promotion to Professor*, candidates in this pathway should demonstrate *sustained*, impactful contributions to collaborative research. This may include development of multi-center research protocols; clinical trial participation (site PI, core leader, etc.); leadership of informatics or data analytics cores and shared resources that enable or facilitate research programs; mentorship of trainees or junior faculty regarding collaborative research; editorial review invitations, etc. Published scholarly products and presentations at regional or national meetings will enhance the case for promotion but are not required for promotion. These faculty members may also be investigators or co-investigators on extramural grants.

#### VI. *Entrepreneurial Clinician*

*To be considered for appointment or promotion to Professor* on this Clinician Track Pathway, the faculty member should demonstrate *sustained*, deep engagement with entrepreneurial activities. This may be demonstrated through contributions to commercialization of novel technologies or products; application for patents through WashU; participation in development and disclosure of intellectual property; sustained collaboration on extramural research grants in support of entrepreneurship (e.g. SBIR/STTR or equivalent); leadership roles on relevant faculty committees; leading efforts to support and instruct trainees and junior faculty in commercialization and innovation; awards for innovation and entrepreneurship, etc.

## **V. APPOINTMENT AND PROMOTION TO THE RESEARCH TRACK**

Faculty on the Research Track are involved in basic biomedical, clinical, and/or educational investigation. To be considered for promotion, they must meet a standard of excellence based upon research accomplishments. The primary focus of Research Track faculty is to *facilitate and support* the overall research mission of Washington University, rather than to develop independent research programs. In this capacity, faculty on the Research Track typically conduct research in collaboration with supervising investigators or groups of investigators. Research Track faculty provide the experience, expertise and leadership needed for the efficient running of individual supervising principal investigators' laboratories

or WUSM core facilities and services and are frequently responsible for introducing novel and technically demanding research technologies and making these available to a broad range of faculty. Research Track faculty may also contribute to their laboratories' entrepreneurial efforts (e.g. assistance with development and disclosure of intellectual property, use and licensing, entity creation, patents, copyrights, and other activities related to commercialization of research discoveries).

All Research Track faculty will receive one-year renewable appointments. Written notice that an appointment is not to be renewed shall be given to the faculty member in advance of the expiration of his/her appointment in accordance with Section IV.B.4 of the Academic Freedom, Responsibility, and Tenure document. Notice of renewal that is different from the default requirements of Section IV.B.4 may be agreed to in writing between a department and a Research Track faculty member.

Excellence in research is the major criterion for appointment and promotion of faculty on the Research Track. Although other activities such as teaching, mentorship, and service may also be considered, excellence in these areas is not in itself sufficient for promotion. Research track faculty do not provide direct patient care. More specific criteria for appointment and promotion to each rank on the Research Track are set forth below.

### **A. Assistant Professor**

For faculty starting at the Research Instructor level, promotion to Assistant Professor on the Research Track is based upon success in investigative activities and assumption of greater levels of responsibility within an individual laboratory or a research core. Ordinarily, promotion to Assistant Professor will occur within three years of initial appointment as Instructor.

### **B. Associate Professor**

Contributions and accomplishments since the time of promotion to Assistant Professor are the primary consideration in the evaluation for appointment or promotion to the rank of Associate Professor. Appointments and promotions to Associate Professor on the Research Track are based upon the following criteria:

#### **1. Investigation and Scholarly Accomplishments**

Research and scholarly accomplishment as determined by:

- a. Authorship or co-authorship of original publications in peer reviewed journals or highly competitive conference proceedings. The number of publications is considered; however, of more importance is the quality of the body of work as evidenced by the sources of publication and by the impact of the candidate's contributions to the research program. This scholarly recording of the candidate's work is the major criterion for promotion. Research Track faculty are expected to have significant intellectual contributions to this work but are not expected to initiate or lead the research efforts.
- b. Presentations of scientific work at professional conferences.
- c. Key contributions to programs that have extramural peer-reviewed financial support for basic, clinical, or educational investigation, and/or entrepreneurship. Research Track faculty are expected to have made important intellectual contributions to successful grant applications, though not necessarily as the principal investigator. Contributions to the research team are

evaluated for the Research Track faculty member's originality, creativity, indispensability, and/or unique skills.

- d. Other evidence of research and scholarly accomplishments that may be considered include authorship or editing of textbooks, book chapters and scholarly reviews acknowledged in the specialty, as well as authorship of nontraditional materials (such as health agency publications and computer programs) or research materials (such as development of databases and research software).

## **2. Evidence of External Recognition**

WUSM expects that Associate Professors on the Research Track should have sufficient stature to be considered as leaders in their respective research fields by the scientific community. Evidence of this recognition can include, but is not limited to:

- a. Recognition of expertise outside of the primary WUSM laboratory (e.g. through requests to advise other laboratory programs, presentations at Departmental conferences, etc.).
- b. Invitation as a speaker or visiting professor at other academic institutions, and/or invited presentations at professional organization conferences.
- c. Service on committees and/or election to positions of leadership in professional societies.
- d. Editorial board memberships, manuscript review for relevant journals, and other editorial or grant review assignments.
- e. Consultative positions or other work with government and private agencies (e.g., study sections, foundations, NIH, ACGME, CDC, etc.).
- f. Organization of regional, national, and international meetings or conference symposia.

## **3. Administration and Teaching**

Administration and teaching, including mentorship of staff or trainees in the laboratory setting, direct teaching or service in Medical School, hospital, departmental, divisional, program, or University activities are not universal responsibilities for Research Track faculty but can nonetheless be considered as a positive factor in promotion. Significant administrative responsibilities related to the research mission of WUSM (e.g. running a core lab or service facility) are also considered. Evaluation will recognize the level of time commitment, expertise, and responsibilities associated with this work.

## **C. Professor**

Appointment or promotion of a faculty member to full Professor on the Research Track is an honor that requires careful evaluation. A Research Track Professor at WUSM should be nationally recognized for investigative excellence in their field. Contributions and accomplishments since the time of promotion to Associate Professor are considered in the evaluation for appointment or promotion to the rank of Professor.

### **1. Investigation and Scholarly Accomplishments**

Sustained research and scholarly accomplishment as determined by:

- a. Authorship or co-authorship of original publications in peer reviewed journals or highly competitive conference proceedings. The number of publications is considered; however, of more importance is the quality of the body of work as evidenced by the sources of publication and by the impact of the candidate's contributions to the research program. This scholarly recording of the candidate's work is the major criterion for promotion. Research Track faculty are



expected to have significant intellectual contributions to this work but are not expected to independently initiate or lead the research efforts.

- b. Presentations of scientific work at national or international professional conferences.
- c. Key, sustained contributions to programs that have extramural peer-reviewed financial support for basic, clinical or educational investigation, and/or entrepreneurship. Research Track faculty are expected to have made important contributions to successful grant applications, though not as the principal investigator. Contributions to the research team are evaluated for the Research Track faculty member's originality, creativity, indispensability, and/or unique skills.
- d. Other evidence of research and scholarly accomplishments that may be considered include authorship of textbooks, book chapters and scholarly reviews acknowledged in the specialty, as well as authorship of nontraditional materials (such as health agency publications and computer programs) or research materials (such as development of databases and research software).

## **2. Evidence of National or International Recognition**

WUSM expects that Professors on the Research Track should be considered by the scientific community as distinguished leaders in their respective research fields. Evidence of this reputation can include, but is not limited to:

- a. Invitation as a speaker or visiting professor at other academic institutions, and/or invited presentations at national/international conferences.
- b. Service on committees and/or election to positions of leadership in national or international professional societies.
- c. Editorial board memberships, frequent manuscript review for relevant journals, and other editorial or grant review assignments.
- d. Consultative positions with government or private agencies (e.g., study sections, foundations, NIH, ACGME, CDC, etc.).
- e. Service as an organizer of national and international meetings or conference symposia.
- f. Research recognition awards.

## **3. Administration and Teaching**

Administration and teaching, including mentorship, of staff or trainees in the laboratory setting, direct teaching or service in Medical School, hospital, departmental, divisional, program, or University activities are not universal responsibilities for Research Track faculty but can nonetheless be considered as a positive factor in promotion. Significant administrative responsibilities – with demonstrated leadership – related to the research mission of WUSM (e.g. leadership of a high impact core lab facility) are also considered. Evaluation will recognize the level of time commitment, expertise, and responsibilities associated with this work.

## **VI. FACULTY APPEALS MECHANISMS RELATED TO APPOINTMENT AND PROMOTION**

Faculty members on any track who are not recommended for promotion or who do not have their appointments renewed have the right to appeal such decisions. If not already provided, the faculty member may request a written explanation of the reasons that contributed to the decision. The faculty member may also request a reconsideration by the decision-making body.

If, after reconsideration, the decision not to promote or renew stands, the faculty member may direct an appeal to a standing review committee of senior faculty which shall be assembled in accordance with Section VI.B.1.e of the Washington University Policy on Academic Freedom, Responsibility, and Tenure and which should include Investigator Track, Clinician Track, Research Track and part-time faculty.

Appeals to the review committee may be made only on the grounds that the faculty member has received inadequate or unfair consideration in relation to the School's relevant procedural standards for evaluation. The review committee shall not substitute its judgment on the merits for that of the appropriate decision-making body. The review committee shall report its findings to the faculty member and to the Executive Vice Chancellor and Dean of WUSM.

If the faculty member is not satisfied with the review committee's decision, and if the faculty member believes that the decision by either the decision-making body or the review committee violated his/her academic freedom, the faculty member may appeal the decision of the review committee in accordance with Section VII.C of the Policy on Academic Freedom, Responsibility, and Tenure.

All members of the faculty are entitled to academic freedom, including the due process right of fair procedure, as referred to in Sections I and VII.A of the Policy on Academic Freedom, Responsibility, and Tenure.

## **VII. AMENDMENTS TO THE GUIDELINES**

Amendment of these Guidelines requires approval by the Executive Faculty (in accordance with its bylaws) and by the Faculty Council (in accordance with its Constitution and bylaws). Voting by the Faculty Council shall be conducted by a process to be agreed upon by the Dean and the Executive Committee of the Faculty Council (ECFC) and can be carried out by secure electronic communication, regular mail, or a scheduled meeting of the Faculty Council. Adequate notice of at least 21 days must be provided for a scheduled meeting; for a vote by secure electronic communication or regular mail, the voting period must extend for at least 21 days after notification to the Faculty Council. Amendment of the Appendices to these Guidelines requires consultation with the ECFC and approval of the Executive Faculty.

## Appendix A. Appointment and Promotion Process

Approved by Executive Faculty, September 2000; amendment approved January 2024

1. Appointments and promotions at Washington University School of Medicine are initiated by the Department Head (see footnote 1 of the APGAR document). Appointments at the Instructor level are made upon the recommendation to the Dean by the relevant Department Head. Appointments and promotions at the level of Assistant Professor and higher involve the processes detailed below.
2. A Departmental/Divisional Appointments and Promotions Committee that consists of senior faculty members may or may not exist within each Department/Division. This Committee may serve to review the packet and make a formal recommendation to the Department Head.
3. The Department Head requests that the Dean appoint an *ad hoc* Appointments and Promotions Committee.
4. A promotion packet is required for all appointments and promotions. Information to be included in the packet is summarized here and described in more detail in the *WUSM Guidelines for Appointment & Promotion Packets and Conflict of Interest for Referees and Committee Members\**:
  - **Curriculum Vitae (CV)** in WUSM format.
  - **Nomination letter** from the Department Head recommending promotion and/or tenure, summarizing the candidate's professional impact, and the case for appointment, promotion, or tenure.
  - **Supporting letters** from internal or external reviewers as required for Track and Rank.
  - **Reprints of selected publications** if required based on Track and Rank.
  - **Executive Summary.** This brief (1-2 pages) narrative describes the *impact* of the candidate's professional activities and highlights the central themes, reach, and significance of the body of work. In addition, the Executive Summary provides opportunities to highlight and describe team science roles and/or entrepreneurial contributions, as well as clinical activities, service responsibilities, and/or work related to fostering a culture of inclusive excellence.
  - **Clinician Track Impact Report (CTIR).** For *faculty on the Clinician Track*, the CTIR is designed to be a detailed compilation of materials that illustrate the candidate's scope of activities and achievement within their declared Clinician Track Pathway. The CTIR is a platform to document the details and impact of key activities that are not fully captured on the WUSM CV. A robust CTIR serves to illustrate the Clinician Track candidate's deep professional expertise, impact and productivity. The CTIR should, therefore, contain descriptions of projects, programs, initiatives, and other substantive undertakings for which the candidate provided important contributions or leadership.

Descriptions of the candidate's contributions to the development, implementation, and/or evaluation of these activities can include the goals, required preparation or qualifications, methods, impact of results, dissemination, and reflective critique. For new initiatives, the candidate will describe the baseline situation (before the project began), the rationale and methods employed, and the results. Results may include data on patient care quality, learner outcomes, accomplishments of the Section or Division, etc. The reflective critique describes how the work was evaluated and/or disseminated, as well as potential future directions. Most

often, impact and recognition of the candidate's work is local; evidence of regional, or national recognition of the candidate's work or expertise may also be included.

\*Specific documentation may vary across faculty tracks and ranks and should be concordant with criteria set forth in *WUSM Guidelines for Appointment & Promotion Packets and Conflict of Interest for Referees and Committee Members*.

5. An Appointments and Promotions Committee is formed that includes a minimum of seven members:
  - Faculty candidate in Clinical Department:
    1. 3 Clinical Department Heads (excluding the Department Head of proposed candidate)
    2. 2 Basic Science Department Heads
    3. 2 senior faculty members
  - Faculty candidate in Basic Science Department:
    1. 2 Clinical Department Heads
    2. 3 Basic Science Department Heads (excluding the Department Head of proposed candidate)
    3. 2 senior faculty members
6. The recommendation of the Appointments and Promotions Committee is presented to the Executive Faculty.
7. The appointment or promotion recommendation is approved by the Executive Faculty.
  - No further action is required for Clinician or Research Track faculty or for Investigator Track faculty where a tenure decision is not being considered.
8. The Executive Faculty recommendation for Investigator Track faculty members for whom the granting of tenure is being considered is forwarded to the Provost and Chancellor for review.
9. Promotion with tenure is conferred by the Board of Trustees.

## Appendix B. Faculty Review Process

Approved by Executive Faculty October 2004; amendment approved January 2024

### I. Annual Administrative/Management Review

Who receives a review: All faculty members employed by WUSM have an annual administrative/management review.

Elements of the administrative review include:

- a. Review of the faculty member's progress in their career development, clinical care (as applicable), teaching, scholarly activities, citizenship (e.g., committee or leadership roles, etc.), and professionalism.
- b. Determination of goals and expectations for the subsequent year (e.g., effort allocation, clinical, educational and citizenship activities, planned grant submissions, other scholarly activities).
- c. Assurance that the faculty member understands the administrative policies and procedures and the compensation policy of the department.

Format of the review: A written summary of the review is required. This can be a textual summary or can be done using a standardized form. One or more prototype forms will be made available by the Office of Faculty Promotions & Career Development. This form will include a section designed to help faculty organize their accomplishments, and a section to be completed by the reviewer. After the review, the written departmental review will be signed or electronically acknowledged by the reviewer and the faculty member.

Access to the review document: Faculty members will be given a copy of the signed review summary or form. Faculty also have the right to review copies of past review documents that are kept in a Departmental file. This does not imply a right to review other material that might be in that file.

Who performs the review: Reviews will be performed by the Department Head or a designee, most commonly the Division or Section Chief.

### II. Periodic Review

Who receives a review: All regular faculty members employed by Washington University at the Instructor and Assistant Professor levels on all tracks have a periodic review every year (this can coincide with the administrative/management review). This policy does not apply to fellows who are given Instructor level appointments. Periodic reviews will occur in the department(s) in which the faculty member has the primary or dual appointment. Associate Professors have a periodic review at least every two years, and Full Professors have a periodic review at least every three years.

Elements of the review: The key elements of the review are based on the faculty member's track and rank, and include:

- a. Assurance that the faculty member understands their track (and pathway, as appropriate), rank, and tenure status and the compensation policy of the department.

- b. Assurance that the faculty member and Department Head, or designee, are in agreement about the proper allocation of the faculty member's effort with respect to investigation, clinical service, teaching, and other service.
- c. Assessment of whether the faculty member's needs are being met with regard to mentorship, sponsorship, coaching, and other support required for professional productivity.
- d. Advice regarding career development, including acquisition of required skills, society memberships, making appropriate contacts.
- e. Assessment of the faculty member's clinical, educational, and research program (as applicable).
- f. Assessment of the quantity and quality of patient care activities (for those who have clinical responsibilities).
- g. Assessment of quantity and quality of teaching, mentorship, and sponsorship.
- h. Assessment of administrative and other service or citizenship contributions to the Division and Department, other Departments, the School of Medicine, the faculty member's academic community and the lay community.
- i. Assessment of the faculty member's progress towards promotion to the next academic rank (within the guidelines set for the appropriate track). For faculty on the Clinician Track, this includes discussion of the most appropriate Pathway.
- j. Discussion of conflict of interest reporting, compliance, professionalism, mandatory trainings, SAFE reporting expectations, etc.
- k. Agreement on goals until the next scheduled review.

Format of review: A written summary of the review is required. This can be a textual summary or can be done using a standardized form. One or more prototype forms will be made available by the Office of Faculty Promotions & Career Development. This form will include a section designed to help faculty organize their accomplishments and a section to be completed by the reviewer. Departments may elect to use the form, modify it, or not use a form at all. The form will also be made available to all faculty members who may choose to use it individually, even if use is not a departmental requirement. After the review meeting, the written departmental review will be signed by the reviewer and the faculty member.

Access to the review document: Faculty members will be given a copy of the signed review summary or form. They also have the right to review copies of past review documents that are kept in a Departmental file. This does not imply a right to review other material that might be in that file.

Who performs the review: Reviews will be performed by the Department Head or a designee, typically the Division or Section chief.

### **III. Interim appraisal**

Who receives an interim appraisal: Each Assistant Professor *on every track* will have a formal review with the Department Head or their designee 3-4 years after attaining the rank of Assistant Professor.

Elements of the interim appraisal: This evaluation is typically more detailed than the annual review, but will contain many of the same elements as the Periodic review. This appraisal is designed to evaluate the appropriateness of the faculty member's academic track and to provide specific feedback to the faculty member about progress towards promotion. For faculty on the Investigator Track, progress towards tenure is assessed. For faculty on the Clinician Track, selection of a professional Pathway is discussed.

The Department Head or their designee typically should include senior faculty from within and sometimes outside of the Department in the interim appraisal.

Format of the interim appraisal: A written report of the appraisal will be produced and will be signed by the Department Head, or their designee, and the faculty member.

Access to the interim appraisal document: Faculty members will be given a copy of the signed appraisal document.

Who performs the interim appraisal: Interim appraisals will be performed by the Department Head or designee.

#### **IV. Reporting of Faculty Reviews**

Timing: Faculty reviews and interim appraisals may be performed any time throughout the academic year. The only deadline will be June 30 – when the list of annual administrative/management reviews, periodic reviews, and interim appraisals should be forwarded to the Office of Faculty Promotions & Career Development.

Faculty response: Faculty members may respond to the annual administrative/management review, periodic review, or interim appraisal in writing if they are not in agreement with the review or appraisal. The faculty member's response must be submitted to the Department Head within 90 days after receipt of the written review or appraisal and will be maintained with the faculty member's file. Additional resources for addressing unresolved conflicts include the Ombuds, Human Resources, or the Medical School Faculty Rights Committee.

Oversight: The Office of Faculty Promotions & Career Development will oversee compliance with the annual administrative/management review, periodic review and interim appraisal process. By June 30 each year, each department will submit to the Office of Faculty Promotions & Career Development a list of all faculty members eligible for annual administrative/management reviews, periodic reviews, and interim appraisals during the past academic year and the dates in which these evaluations took place.

This review policy will be implemented beginning July 1, 2024.