

Information Guide for Appointments, Promotion, and Tenure (APT)

Northwestern University Feinberg School of Medicine

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A. Overview

The Appointments, Promotion, and Tenure (APT) Committee advises the Dean regarding recommendations for appointment, reappointment, and promotion, including the award of tenure. The APT Committee also acts as an advisory committee to Department Chairs regarding the academic progress and performance of individual faculty on the tenure track who have not yet been awarded tenure.

The Vice Dean for Academic Affairs selects the members of the APT Committee from among full professors who are tenured and non-tenured at the Feinberg School of Medicine. The term of service is 5 years, with ~20% of members rotating off each year. The committee is composed of 18 members, including the Committee Chair. Representatives from the Office for Faculty Affairs serve as non-voting members of the committee and liaisons to the Dean's office, to record all decisions, and develop documents as needed for further action. Members are selected to ensure distribution of members across departments and representation of clinical and basic science departments as determined by the Dean.

The Faculty Affairs Office receives dossiers from departments for candidates being recommended for new appointments or promotion. Typically, departmental administrators or their delegates work with faculty members and Chairs to develop the dossier containing the necessary appointment or promotion documents (see Tables 1-2). The APT Committee meets monthly, September through May, and as needed at the request of the Faculty Affairs Office, and reviews recommendations for new appointments and promotions at the level of Associate Professor and Professor. The APT Committee votes on these recommendations, and their recommendation and report for each candidate are forwarded to the Dean of the School of Medicine for approval. The Dean's recommendation is then forwarded to the Provost's Office for approval. An overview of the evaluation and approval process for faculty at different ranks and on different tracks is provided in Figures 1-3.

This process has evolved over time and will continue to do so as use suggests thoughtful revision. A summary of the required documents for new appointments and promotions for faculty in all of the different tracks is found in Tables 1-2. Nothing in this document is intended to override the terms of employment and policies as set forth in the Faculty Handbook at Northwestern University.

B. Appointments

1. Full and Part-time Faculty Appointments

Individuals who receive one hundred percent of their professional compensation for all professional and academic service from Northwestern University or any combination of entities approved by the medical school and University, whose primary base of clinical, academic and educational activity is located on the Chicago campus, and whose effort constitutes 1.0 FTE[1] may be recommended for a full-time regular

[1] The number of work hours required for a 1.0 FTE position is determined by the approved entity that employs the faculty member and pays their salary but cannot be less than 35 hours per week to qualify for full-time status at Northwestern University Feinberg School of Medicine.

faculty appointment and must continue to meet these requirements to retain such an appointment. Designation of an approved entity requires Dean's office review and approval. Full-time appointments also require that an authorized University faculty search process identifies the appointee or that the University approves a waiver of search.

Faculty appointments for individuals who receive all their professional compensation from the university or approved entities and whose effort is less than 1.0 FTE are classified as part-time appointments. Individuals who receive the majority of their total professional compensation from the University, or an entity approved by the University and medical school, for specific, limited academic services are also classified as part-time. It is generally expected that a part-time faculty appointment at Northwestern University will be an individual's primary job. Those who contribute effort less than 1.0 FTE to the university and hold a primary job at another institution will typically be appointed to the adjunct faculty. Paid adjunct appointments cannot exceed 0.49 FTE.

2. Initial Appointment and Reappointment of Instructors

Fellows transitioning to faculty positions and others early in their academic career may be appointed to the rank of Instructor with the recommendation of the Department Chair (see example Chair Recommendation #1) and approval of the Dean and Provost. This is a 1-year appointment with annual renewal as requested by the Department. An appointment as Instructor does not require review by the APT Committee. Appointments at the rank of Instructor are always non-tenure-eligible and occur on either the Clinician-Educator track or an undifferentiated career track, with the latter allowing the candidate to declare a track within the first three years of appointment or at the time of promotion to Assistant Professor, whichever is earlier.

3. Initial Appointment and Reappointment of Assistant Professors

The Chair of a Department will recommend a first appointment at the Assistant Professor level (see example Chair Recommendation #1). Initial appointments and reappointments will be made in the track that is most appropriate for that individual. The initial term of appointment for Assistant Professors is 3 years with annual reappointment by the Department Chair until promotion. Faculty may request a change in tracks following consultation with their Department Chair. Changing tracks may be justified when an individual has changed the portion of time spent in research, clinical activity, or teaching. Changing from the tenure-eligible track should occur no less than 3 years before the end of the tenure probationary period. Changing from the non-tenure-eligible Clinician-Educator or Team Scientist tracks to the tenure-eligible Investigator track requires approval from the School of Medicine and Provost. Decisions to not reappoint require a letter to the faculty member from the Chair describing the timing of the remaining appointment; faculty on an annual reappointment cycle require 4 months written notice and faculty on 3-year reappointment cycles require 1 year notice in writing. The school will usually accommodate late decisions where the decision not to reappoint requires a few months extension of the previous appointment.

The APT Committee reviews tenure-eligible Assistant Professors at the end of their 3rd and 6th years of appointment. The review by the APT Committee is intended to be advisory to the faculty member and his/her Chair and to provide feedback about a faculty member's career development and progress. An important purpose of the review is to help the candidate remedy any deficiencies before the next

review. The language of the report is intended to be supportive and informative, but the content of the report must convey issues that both the candidate and career mentor can evaluate and find useful in preparing for subsequent reviews. Based on its review of the faculty member's dossier, the APT Committee may suggest considering a change in track. A written report of the review is provided to both the faculty member and Department Chair.

4. Categories of Faculty Tracks in the Feinberg School of Medicine

The Feinberg School of Medicine will appoint and advance faculty in one of five promotion tracks (one tenure and four non-tenure) or appoint as adjunct faculty. These tracks identify career pathways that satisfy the intellectual and teaching diversity of needed faculty as well as serve as a framework for academic success. Faculty members should be guided by the expectations of a particular track. Department Chairs are responsible for recommending appointment or reappointment of faculty to a particular track and reviewing the appropriateness of that track during regular intervals of faculty evaluation at the department level. For faculty engaged in clinical practice, continuance of the faculty appointment is typically dependent upon maintaining professional licensure and remaining a practitioner in good standing at the clinical organizations (e.g., hospitals, clinics, practice plans) in which one participates as assigned by the faculty member's department chair, unless an exception is requested of and approved by the medical school. The different faculty tracks with guidelines for the typical distribution of effort on each are as follows.

- **Investigator Track**
  - **Scientist pathway (PhDs, 80-90% Research, 10-20% Education/Service)**
  - **Physician-Scientist pathway (80% Research, 20% Clinical/Education/Service)**

Faculty who spend the majority of their time in extramural-funded research with the intent to develop independent research programs are assigned to the Investigator Track and appointed with the intention of promotion to Associate Professor or Professor with tenure according to School policy. Faculty in this track will be titled as Assistant Professor, Associate Professor, or Professor. This is a tenure track and faculty recruited for appointment at the level of Associate Professor or Professor will normally have tenure at their current institution. Occasionally, based on unique circumstances, appointments of recruited faculty at the level of Associate Professor are made without tenure, allowing for tenure conversion at a later date.

- **Clinician-Educator Track (80% Clinical, 20% Education/Administration/Research /Service/Community Engagement)**

This track is for faculty who contribute to the clinical, educational, research, and/or community engagement missions of the medical school but whose major effort is in the areas of clinical practice, practice-related activities, and/or education. Clinical faculty who spend the majority of their time in clinical practice or practice-related activities, but also perform some clinical or community-engaged research, should also be appointed in this track. Faculty in this track will be titled as Instructor, Assistant Professor, Associate Professor, or Professor. This is a non-tenure track.

Historically, FSM granted contributed services faculty appointments, but no longer grants new appointments of this type. However, those who were initially appointed as contributed services faculty

retain those appointments and are eligible for promotion. Contributed services faculty members are appointed to the Clinician-Educator track. They are clinical practitioners who typically are in the private practice of medicine and practice within the McGaw Medical Center. Contributed services faculty members contribute to the academic mission of the medical school without compensation by teaching medical students, residents, and fellows and performing other activities. Departments provide expectations for contributions to the academic mission by contributed services faculty. Faculty in this track will be titled using their rank preceded by the word "clinical": Clinical Instructor, Clinical Assistant Professor, Clinical Associate Professor, or Clinical Professor. This is a non-tenure track.

- **Team Scientist Track (variable amounts of effort distributed between research and education depending upon domain of activity)**

This track is for non-clinical faculty who make substantial contributions to the research and/or educational missions of the medical school. Faculty members whose primary activity is in research will typically engage in team science. Their skills, expertise and/or effort play a vital role in obtaining, sustaining and implementing programmatic research. Faculty on this track often have expertise in epidemiology, clinical trials, biostatistics, biomedical informatics, outcomes research or other qualitative and quantitative research methodologies and generally contribute to clinical studies, patient-oriented clinical outcomes research, community-engaged research, population-based studies and/or basic science research. Typically such faculty provide critical expertise to a program or group of research teams as a co-investigator with contributions that do not necessarily require or result in independent grant funding, but some faculty on this track may serve as principal investigator on related research. Faculty on this track do not perform clinical work but do contribute to the education and service missions of the medical school. While most members of this track make research the major focus of their activity, for some members of this track education may be the major focus of their activity. Faculty focusing on education are typically recognized as outstanding educators and contribute to course development, degree program leadership, and other innovative educational products. Faculty rank in this track will be titled Assistant Professor, Associate Professor, or Professor. This is a non-tenure-eligible regular faculty track.

- **Research Track/PhD or MD (100% Research):**

Faculty without clinical or substantial teaching responsibilities in the laboratory, who spend most of their time in research activities, will be appointed to the Research track. Faculty in this track typically support research efforts of investigators on the Investigator and Clinician-Educator tracks or play a leadership role in the operations of core facilities. Faculty in this track will be titled as Research Assistant Professor, Research Associate Professor, or Research Professor. This is a non-tenure track.

- **Health System Clinician (up to 100% Clinical):**

Faculty appointed in this track by departments are full-time and part-time clinicians who contribute to the mission of the medical school and practice in affiliated hospitals or clinics. These faculty support the clinical mission of our academic healthcare system and while their major effort is in clinical practice and practice-related activities, they also participate in educational, research, or other activities within their designated areas of interest when requested by the department. Health System Clinician (HSC)

appointments with hospital privileges at Northwestern Memorial Hospital, Lurie Children's Hospital, and Shirley Ryan AbilityLab are specially designated HSC/NMH, HSC/LCH, and HSC/SRAL, respectively, and can only be granted by both approval of the hospital in question and the school.

Health System Clinicians are typically employed by affiliated clinical entities such as the clinical practice plans of Northwestern Medicine, the Pediatric Faculty Foundation, Shirley Ryan AbilityLab, or their hospitals, as they exist from time to time, but some clinicians may be in private practice. These clinical entities will provide oversight regarding the clinical performance of Health System Clinicians with admitting privileges. Departments will be responsible for evaluating the academic education and scholarship of their Health System Clinicians desiring promotion. Faculty in this track will complete annual conflict of interest surveys provided by the University as well as pursue continuing medical education, earning at least enough credits to maintain licensure. Health System Clinician appointments are unpaid by the University and non-tenure eligible. Faculty in this track will be titled using their rank preceded by the word "clinical": Clinical Instructor, Clinical Assistant Professor, Clinical Associate Professor, or Clinical Professor.

- **Adjunct faculty (part-time or non-salary)**

Faculty who hold a primary appointment at another institution or organization and remain based at that institution or organization but who contribute to the academic mission of the medical school will be appointed as adjunct faculty. These faculty will be titled as Adjunct Instructor, Adjunct Assistant Professor, Adjunct Associate Professor, or Adjunct Professor (typically determined by the rank of their primary appointment). This is a non-tenure track.

Adjunct appointment typically involves a greater level of involvement at the university beyond scientific collaboration, including activities such as:

1. Holding an active grant that is administered through Northwestern (this does not include holding a subcontract that is part of a grant awarded to Northwestern)
2. Continuing to mentor a graduate student who was in the faculty member's laboratory and is completing their training at Northwestern as opposed to moving to the faculty member's new institution
3. Actively contributing to the educational mission of Northwestern by filling a teaching need identified by Northwestern and approved by the Department Chair or her/his designee

For faculty members who are granted an adjunct appointment for the first two reasons, the adjunct appointment would typically end once the grant has finished or the graduate student has completed their training. For #3, the appointment would typically end once the need for teaching has ended.

- **Emeritus faculty**

Appointment as emeritus faculty is an honor bestowed upon retiring faculty who have achieved distinction in their field—typically receiving recognition beyond the University—and whose special accomplishments have helped Feinberg achieve one or more of its various missions, have brought distinction to the medical school, or for those who plan to contribute to the mission of the school in one or more meaningful ways after retiring.

Eligibility for emeritus status is typically reserved for faculty members who will be retired fully from their academic position, are aged 55 or older, and have a minimum of 10 years of continuous service to Northwestern at the time of retirement.

Application for emeritus status is made using the Request for Emeritus Appointment form and requires approval of the Department Chair, Dean, Provost, and Board of Trustees. This request should typically be submitted when a faculty member announces their intention to retire.

Qualification for emeritus status requires evidence of longstanding contributions to the education, research, and/or clinical missions of the medical school with evidence of national recognition for one's accomplishments; evidence of significant service to the medical school and/or University communities; and plans for ongoing contributions to the teaching and/or research missions of the medical school.

Because part-time and adjunct faculty typically have significant professional responsibilities outside the medical school and University, they will generally not have achieved a record of service specific to Northwestern to warrant appointment to emeritus status.

Emeritus faculty can be paid for full-time or part-time university service after retirement, but with respect to benefits, they are considered retirees, not paid employees.

C. Expectations of the Tenured Faculty at FSM

The Northwestern University *Faculty Handbook* states:

"Because of the many scholarly and professional enterprises represented at Northwestern, the University does not provide a common standard for faculty productivity. Faculty members are responsible for being active and productive in creative, artistic, scholarly, and research pursuits appropriate to their respective fields. Descriptions of expectations of faculty productivity should be provided by the school in concert with the department of the faculty member."

The award of tenure at the Feinberg School of Medicine is granted based upon the likelihood of a faculty member having a sustained impact in his or her chosen field of investigation. Key elements of this decision include a faculty member's record of academic and scholarly achievement, including high-impact publications, evidence of national recognition, and a strong history of extramural funding.

Contributions to the educational and/or clinical missions of the school as well as service are also important ancillary determinants in a tenure decision. The award of tenure is conferred with an ongoing expectation of superb accomplishment and commitment to supporting salary through faculty effort. Minimal expectations of tenure at the Feinberg School of Medicine include:

- Maintenance of a robust, cutting-edge research program supported by extramural funding. It is an understanding that faculty members will continue to seek extramural support for their salary and research effort.
- Continued contribution to the biomedical research literature.
- Continued contributions to the education of medical and graduate students and other trainees.
- Continued service to the school and University upon request. This would include service on

departmental, school, and University-wide committees; mentorship; or other activities as available through the school or the University.
- Accomplishing all of these activities in full compliance with all University policies and governmental regulations.

During a faculty member's career at Northwestern, the proportion of effort devoted to research, teaching, administrative and/or clinical activities should not vary from that expected at the time tenure is conferred. Annual salary determinations are linked to the expectation of sustained academic productivity. It is the responsibility of the faculty member to remain fully engaged in these pursuits. Any changes in expected effort are made only with the approval of the Department Chair and the School of Medicine.

D. Promotions

The departmental APT committee and Chair initiate the promotion process in time to allow for thoughtful evaluation of consistency and achievement as they relate to guidelines for the School of Medicine. Requirements for the dossier are track-dependent and described in Table 1. Figures 1-3 provide an overview of the process.

➢ Promotion to Associate Professor without the award of tenure in the Investigator track

Promotion in the Investigator track, on rare occasion, is requested without award of tenure, prior to the end of the probationary period. Promotion to Associate Professor without the award of tenure is generally discouraged, as tenure conversion at the end of the probationary period will generally occur after having been in rank as an Assistant Professor for a period of time that allows for the creation of a coherent and substantial body of investigation at the time of promotion to Associate Professor (see example Chair Recommendation #2).

For actions to the level of Associate Professor without the award of tenure on the Investigator track, the Department will prepare a dossier consisting of a curriculum vitae and personal statement, a Chair Recommendation (see example Chair Recommendation #2) and assent of the Departmental APT Committee where such committees exist, documentation of teaching, listing of critical references, and letters from at least six outside referees, based upon a list of names provided by the candidate and solicited by the Department, which can advise the APT Committee on the exceptional qualities of the candidate. It is expected that as part of the dossier, the Chair's letter will include information related to the candidate's teaching, including comprehensive teaching records as well as evaluations from students, residents, and fellows (as appropriate). Of the six letters mentioned above, all should be from peer institutions outside Northwestern University and all evaluators should be at a rank higher than the candidate. Letters from external referees in the individual's field will address the candidate's academic attributes. All of the outside referees must be individuals who know the individual through his/her work alone, rather than through personal contact, defined as having worked at the same institution, having collaborated, or having been in a mentor, co-worker, or a student relationship. Candidates and mentors should not contact these individuals. Such letters will evaluate the candidate's educational or scholarly contributions, independence, professional reputation, teaching, and/or clinical abilities. The APT Committee will then make a recommendation regarding promotion. A report of the APT Committee's

review, deliberations, and vote will be prepared and forwarded along with the candidate's dossier for review and approval by the Dean. The recommendation of the Dean will be forwarded to the Provost's office for final approval.

- **Promotion to Associate Professor with Tenure and to Professor with Tenure in the Investigator track**

Candidates for promotion to Associate Professor will generally have been in rank as an Assistant Professor for a period of time that allows for the creation of a coherent and substantial body of investigation at the time of promotion to Associate Professor with tenure (see example Chair Recommendation #2). Associate Professors being promoted to Professor will typically have been in rank as an Associate Professor for a period of additional time prior to promotion to allow for further development of their research career and international identity.

The standard probationary period for the award of tenure is 9 years at Feinberg. The recommendation of the School of Medicine to the Provost must be completed no later than the end of the 9th year of appointment. The school's promotion process takes approximately 12 months, so promotion with the award of tenure must be planned well before a mandatory end of the probationary period. The probationary period is set to 9 years so that a determination can be made whether faculty will remain high performers as tenured faculty. Therefore, the early award of tenure should be a rare event. For the early award of tenure, there is an expectation that faculty will have accomplished in a shorter period of time what is expected during a full 9-year probationary period. As described above, tenure is awarded to faculty who demonstrate a high likelihood for continuing to perform high impact research on into the future. This is typically evaluated based on three metrics of past performance that help to ensure future success: (i) publication history, (ii) current and past grant funding, and (iii) establishing a national reputation. In terms of publication history, there is not a requirement for a specific number of publications, rather the impact, quality, and quantity of the publications are evaluated. There is an expectation that faculty will have produced an impactful body of work based on work accomplished as an independent investigator. For grant funding, faculty will typically have renewed or be on a second round of grant funding and will generally be principal investigator on at least 2 major grant awards (NIH R01 or equivalent) at the time that tenure is awarded. Examples of activities that demonstrate a national reputation include receipt of honors and awards, invitations to speak at national meetings and other institutions, and service on grant review panels, editorial boards, or related activities. Contributions of citizenship to the medical school and/or university are also expected beyond these three major areas of evaluation.

For actions to the level of Associate Professor with tenure or Professor with tenure, the department will prepare a dossier consisting of a curriculum vitae, personal statement from the candidate outlining his or her accomplishments and future plans, a Chair Recommendation (see example Chair Recommendation #2) and assent of the Departmental APT Committee where such committees exist, listing of critical references, documentation of teaching, and a list of four external referees from the candidate's field of research who can be solicited for letters to comment on the candidate's academic attributes, impact on the field, and appropriateness for the proposed rank and tenure status. It is expected that as part of the dossier, the Chair's recommendation will include information related to the candidate's teaching, including comprehensive teaching records as well as evaluations from students, residents, and fellows (as appropriate). The external referees should be from peer institutions outside Northwestern University and all should be at a rank higher than the candidate. All the outside referees

must be individuals who know the individual through his/her work alone, rather than through personal contact, defined as having worked at the same institution, having collaborated, or having been in a mentor, co-worker, or a student relationship. Candidates and mentors should not contact these individuals, as the FSM Faculty Affairs Office will solicit these letters. The letters from external referees will evaluate the candidate's scholarly contributions, independence, professional reputation, impact on the field, and teaching and/or clinical abilities.

After receipt of the candidate's dossier in the Dean's office, the Vice Dean for Academic Affairs will assign an Ad Hoc Committee to undertake the initial level of review of the dossier for those faculty undergoing tenure review. The committee will consist of tenured faculty members outside the candidate's department who are at a rank higher than the candidate. The Ad Hoc Committee will provide the names of an additional five referees from peer institutions outside of Northwestern University who can comment on the candidate's scholarly contributions, independence, professional reputation, impact on the field, and teaching and/or clinical abilities. For the faculty undergoing promotion without tenure review, additional referee names will be requested from the FSM APT committee. The FSM Faculty Affairs Office will also solicit these letters for the candidate's dossier.

The Ad Hoc Committee will review the final dossier and make a recommendation regarding promotion with the award of tenure. This recommendation of the Ad Hoc Committee will be added to the dossier, which will then be reviewed by the Feinberg School of Medicine APT Committee. A report of the APT Committee's review, deliberations, and vote will be prepared and forwarded along with the candidate's dossier for review and approval by the Dean. The recommendation of the Dean will be forwarded to the Provost for final approval.

- **Promotion to Associate Professor in the non-tenure-eligible Clinician-Educator track**

Candidates will generally have been at least 6 years in rank as an Assistant Professor at the time of promotion to Associate Professor. For actions to the level of Associate Professor on the Clinician-Educator track, the Department will prepare a dossier consisting of a curriculum vitae and personal statement, a Chair Recommendation (see example Chair Recommendation #3) and assent of the Departmental APT Committee where such committees exist, documentation of teaching, listing of critical references, and letters from at least six outside referees, based upon a list of names provided by the candidate and solicited by the Department, which can advise the APT Committee on the exceptional qualities of the candidate. It is expected that as part of the dossier, the Chair's letter will include information related to the candidate's teaching, including comprehensive teaching records as well as evaluations from students, residents, and fellows (as appropriate). Of the six letters mentioned above all should be from peer institutions outside Northwestern University and all evaluators should be at a rank higher than the candidate. Letters from external referees in the individual's field will address the candidate's academic attributes and, for clinicians, their clinical accomplishments. All of the outside referees must be individuals who know the individual through his/her work alone, rather than through personal contact, defined as having worked at the same institution, having collaborated, or having been in a mentor, co-worker, or a student relationship. Candidates and mentors should not contact these individuals. The letters will evaluate the candidate's educational or scholarly contributions, professional reputation, teaching, and/or clinical abilities. Candidates who conduct research in direct collaboration with community leaders or organizations, are engaged in the development of community-based clinical programs, address public policy, and/or support community awareness programs are permitted to provide the department with the names of up to 3 additional individuals who would be qualified to contribute one additional letter as a community referee.

Community referees may include community partners who are not academics by training, but who are experienced consumers of applied research and use academic scholarship for policy or organizational ends and/or are community leaders who manage and benefit from community clinical programs. The purpose of the additional community referee letter will be to verify and describe specifically how the candidate's research, clinical programs and/or other scholarly contributions have benefitted the community by informing or guiding changes in policy or practice, or having other direct benefits from a community perspective. The APT Committee will review the final dossier of the candidate and make a recommendation regarding promotion. A report of the APT Committee's review, deliberations, and vote will be prepared and forwarded along with the candidate's dossier for review and approval by the Dean. The recommendation of the Dean will be forwarded to the Provost's office for final approval.

- **Promotion to Full Professor in the non-tenure eligible Clinician-Educator track**

Candidates will usually have been at least 5 years in rank as an Associate Professor at the time of promotion to Professor. For actions to the level of Professor on the Clinician-Educator track, the department will prepare a dossier consisting of a curriculum vitae and personal statement, information related to the candidate's teaching, including comprehensive teaching records as well as evaluations from students, residents, and fellows (as appropriate), a Chair Recommendation (see example Chair Recommendation #3) and assent of the Departmental APT Committee where such committees exist, documentation of teaching, listing of critical references, and letters from at least six outside referees, based upon a list of names provided by the candidate and solicited by the Department, which can advise the APT Committee on the exceptional qualities of the candidate. Of the six referees mentioned above, all should be from peer institutions outside Northwestern University and at a rank higher than the candidate. Letters from external referees in the individual's field will address the candidate's academic attributes and, for clinicians, their clinical accomplishments. All of the outside referees must be individuals who know the individual through his/her work alone, rather than through personal contact, defined as having worked at the same institution, having collaborated, or having been in a mentor, co-worker, or a student relationship. Candidates and mentors should not contact these individuals. Candidates who conduct research in direct collaboration with community leaders or organizations, are engaged in the development of community-based clinical programs, address public policy, and/or support community awareness programs are permitted to provide the department with the names of up to three additional individuals who would be qualified to contribute one additional letter as a community referee. Community referees may include community partners who are not academics by training, but who are experienced consumers of applied research and use academic scholarship for policy or organizational ends and/or are community leaders in who manage and benefit from community clinical programs. The purpose of the additional community referee letter will be to verify and describe specifically how the candidate's research, clinical programs and/or other scholarly contributions have benefitted the community by informing or guiding changes in policy or practice, or having other direct benefits from a community perspective. The APT Committee will review the final dossier of the candidate and make a recommendation regarding promotion. A report of the APT Committee's review, deliberations, and vote will be prepared and forwarded along with the candidate's dossier for review and approval by the Dean. The recommendation of the Dean will be forwarded to the Provost's office for final approval.

- **Promotion to Associate Professor in the non-tenure eligible Team Scientist track**

Candidates will generally have been at least 6 years in rank as an Assistant Professor at the time of promotion to Associate Professor. Faculty will declare a major domain of activity, either research or education, at the time of appointment. For actions to the level of Associate Professor on the Team Scientist track, the Department will prepare a dossier consisting of a curriculum vitae and personal statement; a Chair Recommendation (see example Chair Recommendation #4) which includes information related to the candidate's research, teaching, and other academic activities, and assent of the Departmental APT Committee where such committees exist; a letter from at least one program leader documenting the unique collaborative contribution of the faculty member to programmatic research, including grants and manuscripts (for faculty whose domain is research); documentation of teaching; listing of critical references; and letters from at least six outside referees, based upon a list of names provided by the candidate and solicited by the Department, which can advise the APT Committee on the exceptional qualities of the candidate. It is expected that as part of the dossier, the Chair's letter will include information related to the candidate's teaching, including comprehensive teaching records as well as evaluations from students when available. Of the six letters mentioned above, all should be from peer institutions outside Northwestern University and all evaluators should be at a rank higher than the candidate. Letters from external referees in the individual's field will address the candidate's academic attributes. All of the outside referees must be individuals who know the individual through his/her work alone, rather than through personal contact, defined as having worked at the same institution, having collaborated, or having been in a mentor, co-worker, or a student relationship. Candidates and mentors should not contact these individuals. The letters will evaluate the candidate's educational or scholarly contributions, professional reputation, research and/or teaching abilities. The APT Committee will review the final dossier of the candidate and make a recommendation regarding promotion. A report of the APT Committee's review, deliberations, and vote will be prepared and forwarded along with the candidate's dossier for review and approval by the Dean. The recommendation of the Dean will be forwarded to the Provost's office for final approval.

- **Promotion to Full Professor in the non-tenure eligible Team Scientist track**

Candidates will usually have been at least 5 years in rank as an Associate Professor at the time of promotion to Professor. Faculty will declare a major domain of activity, either research or education, at the time of appointment. For actions to the level of Professor on the Team Scientist track, the department will prepare a dossier consisting of a curriculum vitae and personal statement; a Chair Recommendation (see example Chair Recommendation #4) which includes information related to the candidate's research, teaching, and other academic activities, and assent of the Departmental APT Committee where such committees exist; a letter from at least one program leader documenting the unique collaborative contribution of the faculty member to programmatic research, including grants and manuscripts (for faculty whose domain is research); documentation of teaching; listing of critical references; and letters from at least six outside referees, based upon a list of names provided by the candidate and solicited by the Department, which can advise the APT Committee on the exceptional qualities of the candidate. Of the six referees mentioned above, all should be from peer institutions outside Northwestern University and at a rank higher than the candidate. Letters from external referees in the individual's field will address the candidate's academic attributes. All of the outside referees must be individuals who know the individual through his/her work alone, rather than through personal contact, defined as having worked at the same institution, having collaborated, or having been in a mentor, co-worker, or a student relationship. Candidates and mentors should not contact these individuals. The APT

Committee will review the final dossier of the candidate and make a recommendation regarding promotion. A report of the APT Committee's review, deliberations, and vote will be prepared and forwarded along with the candidate's dossier for review and approval by the Dean. The recommendation of the Dean will be forwarded to the Provost's office for final approval.

- **Promotion to Associate Professor or Full Professor on the Research Track**

For actions to the level of Research Associate Professor or Research Professor, the Department will prepare a dossier consisting of a curriculum vitae; a Chair Recommendation (see example Chair Recommendation #5) and assent of the Departmental APT Committee where such committees exist; a letter from at least one program leader (i.e., principal investigator or director of core facility) documenting the unique collaborative contribution of the faculty member to programmatic research and/or describing how the candidate's activities contribute to research excellence at the Feinberg School of Medicine or contribute to the excellence and impact of a research support facility; listing of critical references; and letters from at least four outside referees, based upon a list of names provided by the candidate and solicited by the Department, which can advise the APT Committee on the exceptional qualities of the candidate. The letters should be from peer institutions outside Northwestern University, and all referees should be at a rank higher than the candidate. Letters from external referees in the individual's field will address the candidate's academic attributes and research accomplishments. Candidates and mentors should not contact these individuals. The letters will evaluate the candidate's scholarly contributions and professional reputation. The APT Committee will review the candidate's dossier and make a recommendation regarding promotion. A report of the APT Committee's review, deliberations, and vote will be prepared and forwarded along with the candidate's dossier for review and approval by the Dean. The recommendation of the Dean will be forwarded to the Provost's office for final approval.

- **Promotion to Associate Professor in the non-tenure-eligible Health System Clinician track**

Candidates will generally have been at least 6 years in rank as a Clinical Assistant Professor at the time of promotion to Clinical Associate Professor. For actions to the level of Clinical Associate Professor on the Health System Clinician track, the Department will prepare a dossier consisting of a curriculum vitae and personal statement, a Chair Recommendation (see example Chair Recommendation #6) and assent of the Departmental APT Committee where such committees exist, documentation of clinical impact and scholarship, listing of critical references (when research is an area of concentration, and letters from at least three referees external to their practice/institution, based upon a list of names provided by the candidate and solicited by the Department, which can advise the school on the qualities of the candidate. It is expected that as part of the dossier, the Chair's letter will include information related to the candidate's clinical duties, performance, and citizenship. Of the three letters mentioned above all should be from peers outside their practice/institution and all evaluators should be at a rank higher than the candidate. Letters from external referees in the individual's field will address the candidate's academic attributes and, for clinicians, their clinical accomplishments. All the outside referees must be individuals who know the individual through his/her work alone. The letters will evaluate the candidate's scholarly contributions, professional reputation, and/or clinical abilities. Candidates who conduct research in direct collaboration with community leaders or organizations, are engaged in the development of community-based clinical programs, address public policy, and/or support community awareness programs are permitted to provide the department with the names of

up to 3 additional individuals who would be qualified to contribute one additional letter as a community referee. Community referees may include community partners who are not academics by training, but who are experienced consumers of applied research and use academic scholarship for policy or organizational ends and/or are community leaders who manage and benefit from community clinical programs. The purpose of the additional community referee letter will be to verify and describe specifically how the candidate's research, clinical programs and/or other contributions have benefitted the community by informing or guiding changes in policy or practice or having other direct benefits from a community perspective. A special subcommittee of the APT, designated by the Vice Dean for Faculty Affairs, will review the final dossiers of the candidates and make recommendations regarding promotion to the FSM APT Committee. The APT Committee Chair and Co-Chair will review the recommendations and forward the candidate's dossiers for approval by the Dean. The recommendation of the Dean will be forwarded to the Provost's office for final approval.

- **Promotion to Full Professor in the non-tenure eligible Health System Clinician track**

Candidates will usually have been at least 5 years in rank as a Clinical Associate Professor at the time of promotion to Clinical Professor. For actions to the level of Clinical Professor on the Health System Clinician track, the department will prepare a dossier consisting of a curriculum vitae and personal statement, information related to the candidate's clinical and professional performance, a Chair Recommendation (see example Chair Recommendation #6) and assent of the Departmental APT Committee where such committees exist, documentation of clinical impact and scholarship, listing of critical references (when research is an area of concentration), and letters from at least three outside referees, based upon a list of names provided by the candidate and solicited by the Department, which can advise the school on the exceptional qualities of the candidate. Of the three referees mentioned above, all should be from peers external to the practice/hospital /institutions and at a rank higher than the candidate. Letters from external referees in the individual's field will address the candidate's academic attributes and, for clinicians, their clinical accomplishments. All the outside referees must be individuals who know the individual through his/her work alone. Candidates who conduct research in direct collaboration with community leaders or organizations, are engaged in the development of community-based clinical programs, address public policy, and/or support community awareness programs are permitted to provide the department with the names of up to three additional individuals who would be qualified to contribute one additional letter as a community referee. Community referees may include community partners who are not academics by training, but who are experienced consumers of applied research and use academic scholarship for policy or organizational ends and/or are community leaders in who manage and benefit from community clinical programs. The purpose of the additional community referee letter will be to verify and describe specifically how the candidate's research, clinical programs and/or other contributions have benefitted the community by informing or guiding changes in policy or practice or having other direct benefits from a community perspective. A special subcommittee of the APT, designated by the Vice Dean for Faculty Affairs, will review the final dossiers of the candidates, and make recommendations regarding promotion to the FSM APT Committee. The APT Committee Chair and Co-Chair will review the recommendations and forward the candidate's dossiers for approval by the Dean. The recommendation of the Dean will be forwarded to the Provost's office for final approval.

E. Evaluative Criteria for Promotion

The main criteria for promotion are academic excellence, teaching, and clinical accomplishments where

appropriate. Depending on the track, quality and impact of scholarly contributions (ISI citation frequency, h-index, and quality of journals), membership in honorary organizations, awards, significant contributions to professional organizations (such as service on study sections and editorial boards), leadership roles in academic societies, exemplary clinical services, leadership in or contributions to educational programs, teaching excellence, and grants are the major elements underlying the APT Committee's recommendation. The Committee also recognizes and considers some less traditional forms of academic scholarship that are important products of creative and rigorous community engagement. Examples include written reports of community health needs or assets, community workshops and presentations, technical reports, evidence-based practice guidelines, and policy documents. Publications and presentations that are authored jointly with external community leaders and partners are considered strong forms of community-engaged scholarship. Letters from outside referees who evaluate academic accomplishments and impact on the field as reflected by evidence of clinical, research, and/or educational impact and recognition are also considered carefully. The APT Committee recognizes the highly individualized nature of academic careers and seeks to identify the unique contributions of each faculty member it reviews.

1. Investigator Track (tenure track)

Associate Professor: Candidates must have a national reputation for outstanding independent work in their area of scholarship. A series of excellent peer-reviewed articles in respected journals (as judged in part by numbers of citations and quality of journals in which published) should tell a coherent story about their research accomplished as an independent investigator. The successful candidate will have a history of having been awarded several independent research grants, usually from the National Institutes of Health or other federal agencies or nationally recognized foundations. At the time of the award of tenure, the successful candidate will typically have renewed or be on a second round of grant funding and will generally be principal investigator on at least 2 major grant awards (NIH R01 or equivalent). Membership in elected research societies, contributions to professional organizations and societies, invited presentations at national meetings, invited lectureships, and assessment by external referees indicate the importance of the individual's research and his/her national reputation. A candidate should have a record of excellence in teaching medical and/or graduate students and, where appropriate, house officers and fellows. Those who are involved in patient care are expected to be excellent clinicians.

Professor: Candidates will be among the top scholars in the country in their areas of expertise (as judged in part by numbers of citations and quality of journals in which published), with an international reputation for accomplishments as reflected by the assessment of external referees. The curriculum vitae should reflect a substantial body of work and evidence of continuing productivity and excellence since promotion to Associate Professor. The successful candidate should have a record of sustained extramural funding through federal grants and should have a record of teaching excellence. Where appropriate, it would be desirable if the candidate also served as a graduate student preceptor and/or chair of thesis committees. The individual will have a record of giving invited lectures at national and international levels and writing scholarly reviews. The individual is expected to be a member of elected research societies, study sections, or national organizations. The strongest candidates will hold leadership positions in these organizations. The curriculum vitae must demonstrate a substantial period of continuing productivity since the last promotion. Those involved in patient care are expected to be excellent clinicians.

Feinberg recognizes the critical importance of collaboration ("team science") in research and scholarly activity and that the contributions of middle authors in multi-authored publications are often seminal and of the highest quality. When research and/or scholarship is pursued in a collaborative fashion and results in multi-authored publications, the specific contributions of the candidate must be clear and significant. The candidate's role can be described via the Critical References List that must be included in the promotion dossier and/or their personal statement. In addition, the Chair or others uniquely positioned to assess the individual contribution of the faculty member should include a description and evaluation of the quality and impact of the candidate's contribution.

Areas for special consideration for promotion in the Investigator track:

Research Portfolio:

- Having secured and renewed extramural research support as principal investigator
- Publications: original investigations of high quality as an independent investigator with additional consideration for reviews, books, chapters, or clinical observations
- Election to honorary academic societies or recipient of other national awards
- Recognition in the planning for or participation in national and/or international meetings
- Service on national level peer-review groups
- Invited lectures outside of Northwestern
- Evidence of independent thinking and recognized accomplishment
- Patents and licenses

Teaching Portfolio:

- Teaching activities at Northwestern University with medical and/or graduate students/residents/clinical post-doctoral fellows/practitioners – lectures, courses, individual instruction
- Evaluations of teaching – peers/learners, by surveys/letters
- New courses developed – syllabi, lecture notes, etc.
- New educational programs that complement ongoing courses or curricula
- Teaching materials developed or improved – local or published; print or electronic media

Clinical Portfolio (applicable to MDs):

- Assessment of clinical practice by clinical leadership and colleagues as quality care that is patient-centered, effective, efficient, and equitable
- Performance on certification or re-certification exams
- Continuing medical education activities
- Awards for clinical practice
- Service to practice management/administrative initiative/critical pathway development

2. Clinician-Educator (non-tenure track)

Associate Professor: The successful Clinician-Educator candidate will have a local and regional reputation as an outstanding clinician and/or scholar in his/her area of expertise. The individual will have a record of significant scholarship and recognition and/or leadership in two of five domains of activity (clinical impact and recognition, education, research, health services management, and community engagement). Productivity in clinical impact and recognition is measured through development and implementation of clinical protocols and guidelines, clinical programs, and/or quality initiatives; demonstration of unique clinical expertise; and publication of original papers, case reports, reviews, editorials, and book chapters. Clinical recognition is also demonstrated by invitations to lecture at other medical centers in the region, and by participation in courses at the local, regional, and/or national level. Productivity in education is measured through development and/or leadership of new and/or innovative educational programs or curricula, evaluation and dissemination of such programs or curricula nationally, and excellence in teaching. Original papers, reviews, chapters, editorials, or letters in the area of education also measure productivity. Teaching excellence is essential and is established from department records, course directors' records, and the receipt of teaching awards. Productivity in research is measured by contribution to publications of innovative, original research as a lead author or member of a research team; participation on extramurally funded research projects as a principal or co-investigator; and/or participation as a local principal investigator for multicenter studies or collaborations. Productivity in health services management is measured through the development and/or leadership of significant clinical programs or clinical support programs which improve the effectiveness, efficiency, safety, timeliness, patient-centeredness, or equity of health care delivery; development of physician leadership training programs; and/or scholarly evaluation of health care delivery. Productivity in community engagement is measured through the development, support, and conduct of meaningful community engaged research and/or clinical or educational programs for community partners to improve health. Publication of research findings, development of toolkits and related resources as well evidence-based practice guidelines and policy documents are measures of productivity. See Table 3 for examples of scholarship, leadership, and recognition in the different domains. The APT Committee recognizes the broad range of scholarly activity that can be appropriate for faculty in the Clinician-Educator or HSC/ Academic track.

Professor: The successful Clinician-Educator candidate will have evidence of multiple contributions in two promotable areas (clinical impact and recognition, education, research, health services management, and community engagement) with a substantial impact that has resulted in national recognition of his/her achievements. Productivity in clinical impact and recognition is measured through development and implementation of clinical protocols and guidelines, clinical programs, and/or quality initiatives; demonstration of unique clinical expertise; and publication of original papers, case reports, invited reviews, editorials, and book chapters. Clinical recognition is also demonstrated by invitations to lecture at other medical centers and national or international meetings, by invitations to serve as a visiting professor, and by participation in courses at the national and/or international level. Productivity in education is measured through development and/or leadership of new and/or innovative educational programs or curricula, evaluation and dissemination of such programs or curricula nationally, and excellence in teaching. Original papers and invited reviews, chapters, or editorials in the area of education also measure productivity. Teaching excellence is essential and is established from department records, course directors' records, and the receipt of teaching awards. Productivity in research is measured by contribution to publications of innovative, original research as a lead author or member of a research team; participation on extramurally-funded research projects as a principal or co-investigator; and/or participation as a local principal investigator for multicenter studies or

collaborations. Productivity in health services management is measured through the development and/or leadership of significant clinical programs or clinical support programs which improve the effectiveness, efficiency, safety, timeliness, patient-centeredness, or equity of health care delivery; development of physician leadership training programs; and/or scholarly evaluation of health care delivery. Productivity in community engagement is measured through the development, support, and conduct of meaningful community engaged research and/or clinical or educational programs for community partners to improve health. Publication of research findings, development of toolkits and related resources as well evidence-based practice guidelines and policy documents are measures of productivity. See Table 3 for examples of scholarship, leadership, and recognition in the different domains. The APT Committee recognizes the broad range of scholarly activity that can be appropriate for faculty in the Clinician-Educator and HSC/Academic tracks. The curriculum vitae must demonstrate a substantial period of continuing growth since the last promotion. The strongest candidates will hold leadership positions in regional and national level professional societies and editorial boards.

For candidates on the Clinician-Educator track engaged in research and related academic activities, Feinberg recognizes the critical importance of collaboration ("team science") in research and scholarly activity and that the contributions of middle authors in multi-authored publications are often seminal and of the highest quality. Feinberg also recognizes and considers the importance of some less traditional forms of academic scholarship that are valued and meaningful products of community engagement. Examples include written reports of community health needs or assets, community workshops and presentations, technical reports, evidence-based practice guidelines, and policy documents. Publications and presentations that are authored jointly with external community leaders and partners are considered strong forms of community-engaged scholarship. When research and/or scholarship is pursued in a collaborative fashion and results in multi-authored publications, the specific contributions of the candidate must be clear and significant. The candidate's role can be described via the Critical References List that must be included in the promotion dossier. In addition, the Chair or others uniquely positioned to assess the individual contribution of the faculty member should include a description and evaluation of the quality and impact of the candidate's contribution.

Areas for special consideration of promotion in the Clinician-Educator track:

Clinical Portfolio:

- Assessment of clinical practice by clinical leadership and colleagues as high quality care that is patient-centered, effective, efficient, and equitable
- Performance on certification or re-certification exams
- Continuing medical education activities
- Awards for clinical practice
- Service to practice management /administrative initiatives/critical pathway development
- Web site/software development
- Publications: original investigations, clinical observations, reviews, books, and book chapters
- Patient education materials
- Invited lectures outside of Northwestern
- Popular writings or lay press contributions

Research Portfolio:

- Extra- or intramural supported research
- Publications: original investigations, reviews, books, and book chapters

- Invited lectures outside of Northwestern
- Popular writings or lay press contributions
- Web site/software development

Research activity is not an absolute requirement for promotion in this track for those who have not chosen research as one of their domains of activity. However, special areas of research, where appropriate, may include participation in multi-center clinical trials and registry/epidemiologic studies. The candidate may demonstrate significant participation in such research activities, including in study design, implementation, statistical analysis, or biomedical informatics support. Chairing or serving on the steering, planning, or outcomes committees for the study; playing a key role in capturing or analyzing data; or authorship on manuscripts would demonstrate this.

Education Portfolio:

- Teaching activities at Northwestern with medical and graduate students/residents/clinical postdoctoral fellows/practitioners – lectures, courses, individual instruction
- Evaluations of teaching – peers/learners, by surveys/letters
- New courses developed – syllabi, lecture notes
- New educational programs that complement ongoing courses or curricula
- Teaching materials developed or improved – local or published; print or electronic media
- Publications: original investigations, reviews, books, and book chapters
- Invited lectures outside of Northwestern
- Web site/software development

Health Services and Management Portfolio:

- Development and/or leadership of significant new and/or innovative clinical programs (e.g., medical director of a clinical center) that measurably improve the effectiveness, efficiency, safety, timeliness, patient-centeredness, or equity of health care delivery
- Development and/or leadership of significant new and/or innovative clinical support programs (e.g., medical director of medical records, IRB, pharmacy and therapeutics committee, quality improvement programs) that measurably improve the effectiveness, efficiency, safety, timeliness, patient-centeredness, or equity of health care delivery
- Relevant measures include patient, employee, and/or faculty satisfaction; quality of care indicators; costs of care
- Scholarly evaluation of health care delivery with publication of findings regarding the effects of administrative interventions

Community Engagement Portfolio

- Development of training, learning opportunities, toolkits and related resources for community partners
- Community-based education, clinical or research activities
- Evidence of contributions to written community organizational policies or practice guidelines

- Awards for community service
- Web site/software development
- Publications: original investigations, reviews, books, and book chapters
- Community health education materials
- Invited lectures outside of Northwestern
- Authorship of popular writings or lay press contributions

3. Team Scientist Track (non-tenure track)

Associate Professor: Faculty on this track will have chosen a major domain of activity, in either research or education. The successful Team Scientist Track candidate will have a record of significant scholarship and recognition and/or leadership in research and/or education. Productivity for faculty who have chosen research as their domain is measured by contribution to publications of innovative, original research as a member of a research team or lead author; documented participation in obtaining and conducting extramurally-funded research projects of a major program or center as a co-investigator and possibly as principal investigator; leadership of a major data core on a center grant or multiple project grant; and/or principal investigator of a stand-alone data coordinating center supporting multicenter studies. It is an expectation that members of this track who have chosen the research domain will also contribute to the education and service missions of the medical school. For faculty who choose the education domain, productivity is measured through leadership and/or development of educational programs or curricula, especially new and/or innovative programs; evaluation and dissemination of such programs or curricula; and excellence in teaching. Original papers, reviews, chapters, editorials, or letters in the area of education also measure productivity. Teaching excellence is essential and is established from department records, course directors' records, and the receipt of teaching awards. The APT Committee recognizes the broad range of scholarly activity and nature of contributions to research teams and/or education that can be appropriate for faculty in the Team Scientist track depending upon their chosen domain.

Professor: The successful Team Scientist track candidate will have evidence of multiple contributions in the areas of research and/or education with a substantial impact in one of these areas that has resulted in national recognition of his/her achievements. The curriculum vita must demonstrate a substantial period of continuing growth since the last promotion. The strongest candidates will hold leadership positions in regional and national level professional societies, participate on editorial boards and/or be members of study sections and/or data monitoring boards. Productivity for faculty who have chosen research as their domain is measured by contribution to publications of innovative, original research as a member of a research team or lead author; documented participation in obtaining and conducting extramurally-funded research projects of a major program or center as a co-investigator and possibly as principal investigator; leadership of a major data core on a center grant or multiple project grant; and/or principal investigator of a stand-alone data coordinating center supporting multicenter studies. It is an expectation that members of this track who have chosen the research domain will also contribute to the education and service missions of the medical school. For faculty who choose the education domain, productivity is measured through leadership and/or development and/or leadership of educational programs or curricula, especially new and/or innovative programs; evaluation and dissemination of such programs or curricula; and excellence in teaching. Original papers, reviews, chapters, editorials, or letters in the area of education also measure productivity. Teaching excellence is essential and is established from department records, course directors' records, and the receipt of teaching awards. The APT Committee recognizes the broad range of scholarly activity and nature of contributions to research teams and/or education that can be appropriate for faculty in the Team Scientist track depending upon their chosen domain.

Areas for special consideration of promotion in the research domain on the Team Scientist track:

For candidates on the Team Scientist track engaged in research and related academic activities, Feinberg recognizes the critical importance of collaboration in research and scholarly activity and that the contributions of middle authors in multi-authored publications are often seminal and of the highest quality. It is an expectation that faculty on this track who choose the research domain will generally be members of a research team and that their contributions to publications will often be as middle authors. When research and/or scholarship is pursued in a collaborative fashion and results in multi-authored publications, the specific contributions of the candidate should be made clear. The school also recognizes the critical contributions of collaborators in the acquisition of grant funding to collaborative research projects. The candidate's role in manuscripts and grants can be described via the personal statement, letters from program leaders documenting the unique collaborative contribution of the candidate to programmatic research, and the Critical References List that must be included in the promotion dossier. In addition, the Chair, Program Leader, or others uniquely positioned to assess the individual contribution of the faculty member should include a description and evaluation of the quality and impact of the candidate's contributions to the research team(s).

It is expected that most members of this track who choose research as their domain of activity will likely serve as co-investigators on a number of different studies, serving as a methodologist or other critical contributor, and, possibly, as principal investigator on occasion. The candidate may demonstrate significant participation in such research activities, including study design, implementation, statistical analysis, or biomedical informatics support; chairing or serving on the steering, planning, or outcomes committees for the study; playing a key role in capturing or analyzing data; or authorship on manuscripts would demonstrate such participation.

Research Portfolio:

- Extramural supported research, including specific essential role as a co-investigator and, in some cases, as principal investigator
- Publications: original investigations as a co-author or first or senior author, with recognition, where appropriate, of contributions as a senior methodologist
- Primary or co-author on reviews, books, and book chapters
- Invited lectures outside of Northwestern
- Web site/software development

Areas for special consideration of promotion in the education domain on the Team Scientist track:

It is expected that educational activities will be the primary focus for members of this track who choose education as their domain of activity. Collaborative research similar to that described for those who choose the research domain is not a requirement for those who choose the education domain, but some faculty who choose education as their domain of activity may also be involved in such research. It is anticipated that this research activity will typically be as a co-investigator, but it may, on occasion, include research activities as a principal investigator. While accomplishments in the domain of education will be most important for promotion for faculty who choose education as their domain of activity, research accomplishments should also be included in the promotion portfolio to help document the full range of a faculty member's scholarly accomplishments.

Education Portfolio:

- Teaching activities at Northwestern with medical and graduate students and other trainees as appropriate; includes lectures, courses
- Evaluations of teaching – peers/learners, by surveys/letters
- New courses developed – syllabi, lecture notes
- New educational programs that complement ongoing courses or curricula
- Teaching materials developed or improved – local or published; print or electronic media

4. Research faculty (non-tenure track)

Research Associate Professor: Successful candidates will have a history of outstanding collaborative and/or independent scientific investigation. A series of peer-reviewed articles in respected journals (as judged in part by citation index) should present a coherent body of research accomplishments. The candidate may have independent research grant support (not required), usually from the National Institutes of Health, other federal agencies, other foundation funds, or from participation in program project and other group grants. Alternatively, the candidate may serve as a co-investigator on grants. Membership in research societies, presentations at national meetings, and invited lectures, although not required, indicate the importance of the individual's research and his/her reputation. Sometimes research faculty will contribute to bench teaching of junior members of a laboratory. For research faculty engaged in research support activities, candidates should be able to demonstrate the extent to which their activities contribute to research excellence within the Feinberg School of Medicine, and for work in research support facilities, the impact and excellence of the research support facility.

Research Professor: Successful candidates will be scholars in their area of expertise (as judged in part by citation index). The candidate may have independent research grant support, usually from the National Institutes of Health or other foundation funds, in addition to support from participation in program project and other group grants. Alternatively, the candidate may serve as a co-investigator on grants. The curriculum vita should reflect evidence of continuing productivity and excellence since appointment or promotion to Associate Professor. Membership in research societies, presentations at national meetings, and invited lectures, although not required, indicate the importance of the individual's research and his/her reputation. Sometimes research faculty will contribute to bench teaching of junior members of a laboratory. For research faculty engaged in research support activities, contributions to excellence in research may be evidenced by the following: establishing new research support activities of demonstrated excellence that enhance the research capabilities and excellence of Northwestern; receiving letters from investigators at Northwestern or other institutions, from administrative officials at Northwestern, or from authorities outside Northwestern attesting to the contributions made by the candidate towards progress in the research programs of individual investigators; or contributing to research excellence at Northwestern in general through research support activities.

The contribution of research faculty is typically through participation as part of a research team within a single laboratory. Feinberg recognizes the critical importance of collaboration ("team science") in research and scholarly activity and that the contributions of middle authors in multi-authored publications are often seminal and of the highest quality. When research and/or scholarship is pursued in a collaborative fashion and results in multi-authored publications, the specific contributions of the candidate must be clear and significant. The candidate's role can be described via the Critical References List that must be included in the promotion dossier. In addition, the Chair or others uniquely positioned to assess the individual contribution of the faculty member should include a description and evaluation of

the quality and impact of the candidate's contribution.

Areas for special consideration of promotion in the Research track:

Research/Publications Portfolio:

- Evidence of extra- or intramural supported research, either as a principal investigator or co-investigator
- Publications: original investigations, clinical observations, reviews, books, and book chapters
- Additional accomplishments and activities that are not required but warrant consideration:
    - Web site/software development
    - Invited lectures outside of Northwestern
    - Awards
    - Service on national level peer-review groups
    - Patents and licenses
    - Popular writings or lay press contributions

5. Health System Clinician (non-tenure tracks)

Clinical Associate Professor: The successful Health System Clinician candidate will have a local and regional reputation as an outstanding clinician and/or scholar in his/her area of expertise. The individual will have a record of significant scholarship and recognition and/or leadership as an expert clinician, *plus* one area of concentration. Productivity in clinical impact and recognition is measured through development and implementation of clinical protocols and guidelines, clinical programs, and/or quality initiatives; demonstration of unique clinical expertise; and publication of original papers, case reports, reviews, editorials, and book chapters. Clinical recognition is also demonstrated by invitations to lecture at other medical centers in the region, and by participation in courses at the local, regional, and/or national level. Areas of Concentration can include productivity in education, research, productivity in health services management or productivity in community engagement.

Clinical Professor: The successful Health System Clinician candidate will have evidence of significant contributions as an outstanding clinician and/or scholar in his/her area of expertise in addition to a second area of concentration (research, health services management, or community engagement) with a substantial impact that has resulted in regional and national recognition of his/her achievements. Productivity in clinical impact and recognition is measured through development and implementation of clinical protocols and guidelines, clinical programs, and/or quality initiatives; demonstration of unique clinical expertise; and publication of original papers, case reports, invited reviews, editorials, and book chapters. Clinical recognition is also demonstrated by invitations to lecture at other medical centers and national or international meetings, by invitations to serve as a visiting professor, and by participation in courses at the national and/or international level. Productivity in education is measured through development and/or leadership of new and/or innovative educational programs or curricula, evaluation and dissemination of such programs or curricula nationally, and excellence in teaching. Original papers and invited reviews, chapters, or editorials in the area of education also measure productivity. Productivity in research is measured by contribution to publications of innovative, original research as a lead author or member of a research team; participation on extramurally funded research projects as a principal or co- investigator; and/or participation as a local principal investigator for multicenter studies

or collaborations. Productivity in health services management is measured through the development and/or leadership of significant clinical programs or clinical support programs which improve the effectiveness, efficiency, safety, timeliness, patient-centeredness, or equity of health care delivery; development of physician leadership training programs; and/or scholarly evaluation of health care delivery. Productivity in community engagement is measured through the development, support, and conduct of meaningful community engaged research and/or clinical or educational programs for community partners to improve health. Publication of research findings, development of toolkits and related resources as well evidence-based practice guidelines and policy documents are measures of productivity. See Table 3 for examples of scholarship, leadership, and recognition in the different domains. The APT Committee recognizes the broad range of scholarly activity that can be appropriate for faculty in the Health System Clinician track. The curriculum vitae must demonstrate a substantial period of continuing growth since the last promotion. The strongest candidates will hold leadership positions in regional and national level professional societies and editorial boards.

Areas for special consideration of promotion in the Health System Clinician track:

Clinical Portfolio:

- Assessment of clinical practice by clinical leadership and colleagues as high quality care that is patient-centered, effective, efficient, and equitable
- Performance on certification or re-certification exams
- Continuing medical education activities
- Awards for clinical practice
- Service to practice management /administrative initiatives/critical pathway development
- Web site/software development
- Publications: original investigations, clinical observations, reviews, books, and book chapters
- Patient education materials
- Invited lectures outside of Northwestern
- Popular writings or lay press contributions

Areas of Concentration

Education Portfolio:

- Teaching activities at Northwestern with medical and graduate students/residents/clinical postdoctoral fellows/practitioners – lectures, courses, individual instruction. All activities must have student/trainee evaluations.
- Evaluations of teaching – peers/learners, by surveys/letters
- New courses developed – syllabi, lecture notes
- New educational programs that complement ongoing courses or curricula
- Teaching materials developed or improved – local or published; print or electronic media
- Publications: original investigations, reviews, books, and book chapters
- Invited education lectures outside of Northwestern
- Web site/software development

Research:

- Extra- or intramural supported research (dry-lab or clinical trials)
- Publications: original investigations, reviews, books, and book chapters
- Invited lectures outside of Northwestern
- Popular writings or lay press contributions
- Web site/software development

Health Services and Management:

- Development and/or leadership of significant new and/or innovative clinical programs (e.g., medical director of a clinical center) that measurably improve the effectiveness, efficiency, safety, timeliness, patient-centeredness, or equity of health care delivery
- Development and/or leadership of significant new and/or innovative clinical support programs (e.g., medical director of medical records, IRB, pharmacy and therapeutics committee, quality improvement programs) that measurably improve the effectiveness, efficiency, safety, timeliness, patient-centeredness, or equity of health care delivery
- Relevant measures include patient, employee, and/or faculty satisfaction; quality of care indicators; costs of care
- Scholarly evaluation of health care delivery with publication of findings regarding the effects of administrative interventions

Community Engagement

- Development of training, learning opportunities, toolkits and related resources for community partners
- Community-based education, clinical or research activities
- Evidence of contributions to written community organizational policies or practice guidelines
- Awards for community service
- Web site/software development
- Publications: original investigations, reviews, books, and book chapters
- Community health education materials
- Invited lectures outside of Northwestern
- Authorship of popular writings or lay press contributions

F. Common Reasons for Failing to Achieve Promotion

Department Chairs along with their Departmental APT Committees, where they exist, are encouraged to evaluate their faculty critically and to recommend to the Dean's office and APT Committee only those candidates who are expected to meet the appointment or promotion criteria of the medical school. After a period of evaluation, not all faculty meet criteria for promotion, and recommendation by their Department does not assure success either at the level of the APT Committee, Dean, or Provost. Like other research-intensive peer institutions, the reasons for failure vary and are as individualized as the faculty members themselves, but tend to fall into several broad categories:

- **Premature request for promotion** - accelerated promotion is reserved for outstanding, highly

productive faculty members who have made major academic contributions. Because of the impact of a negative decision, the Dean's office recommends that Departments carefully consider a candidate's qualifications before proposing any faculty member for accelerated promotion.

- **Inappropriate track or choice of domains** - faculty are in a track inconsistent with their actual activities and so have inadequate credentials for promotion; similarly, faculty on the Clinician-Educator or Team Scientist tracks may choose domains for which they have inadequate credentials for promotions.

- **Poor productivity** - based on the APT Committee's own review and/or comments from referees, the candidate's academic productivity is inadequate to support promotion. Reasons for deficiencies vary. Common problems might include insufficient standing or level of contribution to the field, lack of independence (especially in the tenure track), publications in low-cited journals, and failure to maintain a consistent publication record. In the Clinician-Educator track, poor productivity may reflect inadequate documentation of clinical reputation or teaching excellence, insufficient contributions to scholarship, lack of educational program development and/or leadership, and lack of significant administrative contributions.

- **Inadequate grant support** - for tenure and research track faculty, a record of past and recurrent grant support consistent with the specific rank is not evident.

G. Recommendation for New Appointment

Before recruiting full-time faculty members on the Clinician-Educator, Team Scientist, or Investigator career tracks, departments must first obtain authorization to conduct a search from the Dean and Provost. Departments propose full-time positions for Clinician-Educators, Team Scientists, and Investigators when creating their annual faculty hiring plan in the spring; after the hiring plan is approved, departments follow the pre-search process to request University-approved search numbers for individual positions. The request for a search number is submitted electronically to the Faculty Affairs Office for initial review and approval by FSM before it is reviewed by the Provost's office, which assigns the official search number. Candidates for new appointment to the faculty are identified typically through national searches by search committees approved by the Dean and Provost, except in rare circumstances in which a waiver of search is granted because a candidate presents a unique target of opportunity. In general, internal candidates must be evaluated against potential external candidates.

After identification of a finalist candidate who has expressed his or her intent to join the faculty, the department prepares a business plan, draft offer letter, and Chair's recommendation letter, which are electronically submitted to the FSM Dean's office along with candidate materials (refer to Table 2) for approval. The department should send the formal offer letter to the candidate only *after* the offer has been approved by the Dean and, depending on rank and tenure status, the Provost.

When recommending a candidate for a new faculty appointment, the Chair's letter (see the template Chair Recommendation #1) should discuss the following:

- **Search Process**: nature of the search process, including the strategies used to identify

candidates, the number of potential candidates, and the approach used to identify the finalist.

- **Description of the finalist:** a description of the candidate's background and accomplishments, the role that they will play in the department, and their potential for collaborations and interactions with others at Northwestern.
- **Job expectations:** a brief description of the expectations of the Department.
- **Mentoring committee (if applicable):** identify the members of the mentoring committee and the plan for mentoring the new faculty member.
- **A responsible supervisor:** provide the name of individual or program that will be responsible for career development of the proposed individual.

After a candidate accepts an offer, the department assembles any needed documents (e.g., human resources and payroll forms) to complete the appointment process. Candidates who were not reviewed by the Provost at the time of the draft offer letter are reviewed during this appointment phase. Appointment to the faculty is contingent upon approval of the Provost.

Instructors are initially appointed for a one-year term, and Assistant Professors are initially appointed for a three-year term. Associate Professors and Professors are initially appointed for three-year terms, unless the initial appointment is tenured.

H. Reappointment/Promotion Recommendation and Criteria for Promotion

The Department with the approval of the Department Chair, usually in consultation with Center Directors where appropriate, submits requests for reappointment as a Chair Recommendation (see examples #2-5). Faculty in the Investigator, Team Scientist, or Clinician-Educator tracks at the rank of Assistant Professor are appointed for 3-year terms and reappointed for 1-year renewable terms. When promoted to Associate Professor or Professor, reappointments typically resume at 3-year intervals (with the exception of tenured faculty). Faculty appointed on the Health System Clinician track are appointed for 1- year terms, regardless of rank. Faculty on all other tracks are initially appointed for 1-3 years with reappointment intervals recommended by the Department Chair. Mandatory review for the award of tenure will follow the process as required by the Feinberg School of Medicine and Northwestern University.

The intent is for the Chair Recommendation to be a living document that is reviewed and updated annually by the Chair to reflect the ongoing activities and accomplishments of the faculty member. This same document can then be used as the basis for the Chair recommendation when the faculty member is proposed for promotion (see below).

All non-tenured faculty at the level of Assistant Professor or higher whom the Department does not plan to reappoint must be provided with a letter indicating the Department's intent to not renew their appointment. Letters to the faculty member from the Chair must describe the timing of the remaining appointment; faculty on an annual reappointment cycle require 4 months written notice and faculty on 3-year reappointment cycles require 1 year notice in writing.

At the time of promotion, the Department Chair as part of the evaluation process will provide a Chair Recommendation (see example Chair Recommendations #2-5). Elements to be addressed in the Chair's recommendation are provided below.

1. Promotion Recommendations and Criteria for the Investigator track:

In general, the Chair's Recommendation should address each of the areas below as a separate paragraph. The Departmental APT Committee's report should also highlight important points related to these areas and address other issues important to the evaluation that may fall outside these areas.

Academic career:

- Consistency and importance of research theme
- Quality and originality of scientific work
- Unique contributions of the candidate to collaborative (team science) research projects and scholarly activities
- Unique contributions of research to improving community health, policy, or practice
- Productivity
- Independence
- Impact and stature in the field
- Evidence of contribution to education (e.g., teaching awards, evaluations, etc.)

Other: The recommendation and/or report is, of course, expected to include any additional factors that should be brought to the attention of the APT Committee and the evaluation process, e.g., university citizenship, community service, etc.

2. Promotion Recommendations and Criteria for Clinician-Educator Track

In general, the Chair's Recommendation should address each of the areas below as a separate paragraph. The Departmental APT Committee's report should also highlight important points related to these areas and address other issues important to the evaluation that may fall outside these areas.

Academic career:

- Accomplishments and scholarship in the two chosen domains of activity (Clinical, Education, Research, Health Services and Management, and Community Engagement), each in a separate paragraph
- Contributions to education (if not addressed above)
- Clinical accomplishments (where appropriate)
- Unique contributions of the candidate to collaborative (team science) research projects and scholarly activities
- Contributions to community policy, practice, and health outcomes
- Local and regional recognition (national in the case of promotion to Professor):

Other: The report and/or recommendation is expected to include any additional factors that should be brought to the attention of the APT Committee including university citizenship, community service, and other meritorious activities.

3. Promotion Recommendations and Criteria for Team Scientist Track

In general, the Chair's Recommendation should address each of the areas below as a separate paragraph. The Departmental APT Committee's report should also highlight important points related to these areas and address other issues important to the evaluation that may fall outside these areas.

Academic career:

- Accomplishments and scholarship in the chosen domain of activity (Research or Education), each in a separate paragraph
- Contributions to education (if not addressed above)
- Unique contributions of the candidate to collaborative (team science) research projects and scholarly activities
- Local and regional recognition (national in the case of promotion to Professor):

Other: The report and/or recommendation is expected to include any additional factors that should be brought to the attention of the APT Committee including university citizenship, community service, and other meritorious activities.

4. Promotion Recommendations and Criteria for the Research Track

In general, the Chair's Recommendation should address each of the areas below as a separate paragraph. The Departmental APT Committee's report should also highlight important points related to these areas and address other issues important to the evaluation that may fall outside these areas.

Academic career:

- Consistency and importance of research theme
- Quality of scientific work
- Unique contributions of the candidate to collaborative (team science) research projects and scholarly activities
- Productivity
- Role in the research team and/or independence
- Impact and stature in the field

Other: The report and/or recommendation is expected to include any additional factors that should be brought to the attention of the APT Committee in the evaluation process, including university citizenship, community service, and other meritorious activities.

5. Promotion Recommendations and Criteria for Health System Clinician Track

In general, the Chair's Recommendation should address each of the areas below as a separate paragraph. The Departmental APT Committee's report should also highlight important points related to these areas and address other issues important to the evaluation that may fall outside these areas.

Academic career:

- Clinical accomplishments (where appropriate)
- Accomplishments and scholarship in clinical practice
- Contributions to one area of concentration (Research, Health Services and Management, Community Engagement)
- Unique contributions of the candidate to collaborative (team science) research projects and scholarly activities
- Contributions to community policy, practice, and health outcomes
- Local, regional and national recognition

Other: The report and/or recommendation is expected to include any additional factors that should be brought to the attention of the Chair and the Co-Chair of the APT Committee including university citizenship, community service, and other meritorious activities.

Appendices

Document Templates and Forms

The most current versions of forms and document templates required for faculty appointment, promotion, and tenure processes are available on the website of the Faculty Affairs Office (FAO). The list below highlights documents frequently used by faculty.

Candidate Documents for Promotion

Feinberg faculty who maintain their profiles and career accomplishments in the Feinberg Faculty Portal can generate most elements of their promotion packet electronically. Alternatively, faculty may prepare their packets manually using document templates available on the FAO website. For more information on both options and for tips on preparing the documents listed below, please visit the Prepare Your Packet page on the FAO website.

- Personal Statement
- Feinberg Standard CV
- CV Supplements
    - Quality Improvement Initiatives
    - Development and Leadership of Clinical Initiatives
    - Public and Population Health Initiatives
    - Global Health Initiatives
- Record of Teaching
- Critical References List
- Referee List

Chair's Recommendation Templates

The following documents are used by the department chair to nominate faculty for initial appointment, promotion, tenure, and endowed professorships. The numbers correspond to the example Chair Recommendations referenced throughout the guide.

1. Chair's Recommendation for Regular Faculty Appointment
2. Chair's Recommendation for Promotion/Tenure on Investigator Track
3. Chair's Recommendation for Promotion on Clinician-Educator Track
4. Chair's Recommendation for Promotion on Team Scientist Track
5. Chair's Recommendation for Promotion on Research Track
6. Chair's Recommendation for Promotion on Health System Clinician Track
7. Chair's Nomination for Endowed Professorship

Request Forms

The following forms are co-signed by the faculty candidate and the Department Chair.

- Faculty Request to Obtain Outside Appointment
- Request for Academic/Personal Leave of Absence (non-medical)
- Request to Extend Tenure Probationary Period
- Emeritus Request Form

Table 1: Faculty Dossiers for Promotion to Indicated Ranks

Career Track	Rank of Proposed Promotion	Tenure Status[1]	Candidate Submits									Dept. Submits		Soliciting Reference Letters	
			CV	Personal State-ment	Record of Teaching	Critical References	CV Supple-ments[2]	Letter from Program Leader	Referee List[3]	# Referees to Suggest		Chair's Letter	Dept. APT Report	Who Contacts Referees?	# of Letters Sought
										Min	Max				
Investigator	Professor	T	✓	✓	✓	✓	Optional		✓	4	5	✓	✓	FSM FAO	6*
	Award of tenure only	T	✓	✓	✓	✓	Optional		✓	4	5	✓	✓	FSM FAO	6*
	Associate Professor	T	✓	✓	✓	✓	Optional		✓	4	5	✓	✓	FSM FAO	6*
	Assoc Prof w/o tenure	TE	✓	✓	✓	✓	Optional		✓	6	8	✓	✓	Dept Chair's Office	6
	Assistant Professor	TE	✓	✓	✓	✓	Optional		✓	4	6	✓	✓	Dept Chair's Office	4
Clinician-Educator	Professor	NTE	✓	✓	✓	✓	Optional		✓	6	8	✓	✓	Dept Chair's Office	6
	Associate Professor	NTE	✓	✓	✓	✓	Optional		✓	6	8	✓	✓	Dept Chair's Office	6
	Assistant Professor	NTE	✓	✓	✓	✓	Optional		✓	4	6	✓		Dept Chair's Office	4
Team Scientist	Professor	NTE	✓	✓	✓	✓	Optional	Required for research domain only	✓	6	8	✓	✓	Dept Chair's Office	6
	Associate Professor	NTE	✓	✓	✓	✓	Optional		✓	6	8	✓	✓	Dept Chair's Office	6
	Assistant Professor	NTE	✓	✓	✓	✓	Optional		✓	4	6	✓		Dept Chair's Office	4
Research	Research Professor	NTE	✓	✓		✓	Optional	✓	✓	4	6	✓	✓	Dept Chair's Office	4
	Research Assoc Prof	NTE	✓	✓		✓	Optional	✓	✓	4	6	✓	✓	Dept Chair's Office	4
Clinician-Educator (contributed services)	Clinical Professor	NTE	✓	✓	✓	✓	Optional		✓	6	8	✓	✓	Dept Chair's Office	6
	Clinical Associate Prof	NTE	✓	✓	✓	✓	Optional		✓	6	8	✓	✓	Dept Chair's Office	6
	Clinical Assistant Prof	NTE	✓	✓	✓	✓	Optional		✓	4	6	✓		Dept Chair's Office	4
Health System Clinician	Clinical Professor	NTE	✓	✓	Optional	✓ [4]	Optional	For Education as an area of concentration	✓	6	8	✓	✓	Dept Chair's Office	6
	Clinical Associate Prof	NTE	✓	✓	Optional	✓ [4]	Optional		✓	6	8	✓	✓	Dept Chair's Office	6

[1]**Tenure Status**: T = Tenured TE = Tenure-eligible NTE = Non-tenure-eligible

[2]**CV Supplements**: These optional CV supplements may be submitted by faculty on any career track: (1) Quality Improvement Initiatives, (2) Development and Leadership of Clinical Initiatives, (3) Public and Population Health Initiatives, and (4) Global Health Initiatives.

[3]**Referee List**: For promotions to the levels of Associate Professor and Professor, referees must be external to Northwestern University, should be arm's length, and should not have a training connection to the candidate. See the FAO website for more information. For promotion to Assistant Professor, two letters may come from referees at Northwestern University but must be outside of the candidate's primary department/division.

[4]**Critical References:** Applicable to those with Research as an area of concentration.

*For Investigators who are being proposed for the award of tenure, the Faculty Affairs Office solicits reference letters from referees suggested by the nominee and from additional referees suggested by an ad hoc committee. For the tenured investigators being proposed for promotion, the Faculty Affairs Office solicits reference letters from the referees suggested by the nominee and the FSM APT Committee. The ad hoc or FSM committee cannot suggest referee names that were provided by the nominee.

Table 2: Faculty Dossiers for New Appointments

Career Track	Academic Title	Tenure Status*	Appt. Term in Years	Candidate Submits					Soliciting Reference Letters	
				CV	Research Statement	Referee List	# Referees to Suggest****		Who Contacts?	# Letters Sought
							Min	Max		
Investigator	Professor	Tenured		✓	✓	✓	6	8	FSM Faculty Affairs Office	6
	Associate Professor	Tenured		✓	✓	✓	6	8	FSM Faculty Affairs Office	6
	Associate Professor w/o tenure	TE	3	✓	✓	✓	6	8	Dept. Chair's Office	6
	Assistant Professor	TE	3**	✓	✓	✓	4	6	Dept. Chair's Office	4
Clinician-Educator (full-time)	Professor	NTE	3***	✓		✓	6	8	Dept. Chair's Office	6
	Associate Professor	NTE	3***	✓		✓	6	8	Dept. Chair's Office	6
	Assistant Professor	NTE	3**	✓		✓	4	6	Dept. Chair's Office	4
	Instructor	NTE	1	✓						
Clinician-Educator (part-time)	Professor	NTE	3***	✓		✓	6	8	Dept. Chair's Office	6
	Associate Professor	NTE	3***	✓		✓	6	8	Dept. Chair's Office	6
	Assistant Professor	NTE	3**	✓		✓	4	6	Dept. Chair's Office	4
	Instructor	NTE	1	✓						
Team Scientist (full-time)	Professor	NTE	3***	✓		✓	6	8	Dept. Chair's Office	6
	Associate Professor	NTE	3***	✓		✓	6	8	Dept. Chair's Office	6
	Assistant Professor	NTE	3**	✓		✓	4	6	Dept. Chair's Office	4
Team Scientist (part-time)	Professor	NTE	3***	✓		✓	6	8	Dept. Chair's Office	6
	Associate Professor	NTE	3***	✓		✓	6	8	Dept. Chair's Office	6
	Assistant Professor	NTE	3**	✓		✓	4	6	Dept. Chair's Office	4
Research	Research Professor	NTE	1	✓		✓	4	6	Dept. Chair's Office	4
	Research Associate Professor	NTE	1	✓		✓	4	6	Dept. Chair's Office	4
	Research Assistant Professor	NTE	1	✓		✓	4	6	Dept. Chair's Office	4
Health System Clinician	Clinical Professor	NTE	1	✓		✓	3	6	Dept. Chair's Office	3
	Clinical Associate Professor	NTE	1	✓		✓	3	6	Dept. Chair's Office	3
	Clinical Assistant Professor	NTE	1	✓		✓	3	6	Dept. Chair's Office	3
Other	Adjunct Faculty (any rank)	NTE	1	✓						

*T = Tenured TE = Tenure-eligible NTE = Non-tenure-eligible

**Initial appointment is for a term of 3 years, with reappointment in one-year terms until promotion is achieved.

***Initial appointment is for a term of 3 years, and reappointment terms are typically also 3 years.

**** Referee Guidance:

- Candidates suggest names, but should not contact their referees to solicit their own letters.
- Referees must hold a rank that is equivalent to or higher than the rank of the proposed appointment.
- For appointments at the levels of Associate Professor or Professor, referees must be external to Northwestern and those without a training connection to the candidate are preferred. Referees should represent multiple institutions, as this provides evidence of the breadth of a candidate's reputation.
- For appointments at the Assistant Professor level, two letters may come from referees in the candidate's primary department and the others should come from referees outside the candidate's primary department. (For example, a candidate who is just finishing training could obtain all letters from the home institution where they are training, as long as no more than two letters come from their home department.)

Table 3: Domains of Activity on the Clinician-Educator and Health System Clinician Tracks and Examples of Accomplishments

Domain	Dimensions of Achievement and Examples of Contributions		
	Scholarship	**Recognition and Leadership**	**Professional Service***
Clinical Impact and Recognition	• Development and implementation of clinical protocols and guidelines • Development and implementation of innovative clinical programs or quality initiatives • Unique expertise in clinical or consultative specialty • Publication of case reports, reviews, editorials and book chapters	• Leadership activity in professional organizations • Editorial activity for medical journals • Recognition by community or peers as clinical leader • Consultative positions in governmental or nongovernmental organizations • Consistent outstanding evaluations as a clinician from residents and medical students • Participation in the development of clinical guidelines, statements, and other expert opinion documents that form the basis for the national standard of patient care	• Provision of high-quality, evidence-based patient care • Service contributions to the academic medical center, medical school, or university • Community outreach • Mentorship of junior faculty, fellows, and residents.
Teaching and Education	• Novel contributions to education research and development • Development of new approaches to teaching (e.g., audiovisual, web-based, texts, manuals, curriculum development, and student assessment and educational/programmatic evaluation) • Collaborations with Searle Center for Teaching Excellence	• Receipt of teaching awards • Recurring exceptional teaching effectiveness on evaluations • Leadership activities in residency programs or medical student clerkships. • Leadership activities in medical school or university education. • Leadership in national organizations whose primary focus is education. • Editorial activity for education journals. • Visiting professorships, national presentations, and invited lectures.	• Teaching medical students in courses such as Problem Based Learning and Medical Decision Making is expected (http://www.feinberg.northwestern.edu/sites/fame/teaching-opportunities/index.html) • Mentorship of junior faculty, fellows, and residents. • Review activities for education journals. • Development of systems that support teaching • Participation in student/housestaff recruitment and selection
Original Research	• Contribute to publications of innovative, original research as a PI or member of a research team • Consistent receipt of extramural funding (e.g., governmental and nongovernmental) • Principal investigator of multicenter studies or collaborations	• Editorial activities for journals • Leader of scientific review committees • Leadership activity in professional organizations • Participation in scientific review for granting agencies • Awards	• Review activities for journals. • Teaching research methods through courses and seminars. • Mentorship of junior faculty, fellows, and residents.
Health Services and Management	• Scholarly evaluation of health care delivery with publication of findings regarding the effects of administrative interventions • Development of physician leadership training programs (e.g., administrative fellowship with MBA at Kellogg) • Development of innovative administrative programs	• Administrative leadership activity in the medical center, medical school, or university • Department or division leadership activity (e.g., chair, vice chair, director) • Leadership in faculty development. • Leadership activity in professional organizations	• Demonstration of effective administration of health care delivery • Participation in administration of medical school departments and centers • Committee service (departmental, medical school, or university). • Mentorship of junior faculty, fellows, and residents.

Domain	Dimensions of Achievement and Examples of Contributions		
	Scholarship	**Recognition and Leadership**	**Professional Service***
Community Engagement	• Contribute to community-engaged research activities and publication of the findings • Development of community-based clinical and/or educational programs • Development of training, learning opportunities, toolkits and related resources for community partners • Additional forms of scholarship, such as collaborative authorship contributions to community health needs or asset reports, evidence-based practice guidelines, and policy documents • Curricular design or leadership over educational or training programs that are developed, implemented, and evaluated in collaboration with community partners to respond to community-identified needs, concerns, or interests (e.g. service learning programs)	• Receipt of awards for community-based activities and service • Leadership or co-leadership of community-based initiatives • Research leadership/innovation in strong partnership with community organizations, including serving as co-PI, PI, or co-investigator on externally funded community-based research projects with community organization investigators	• Education about, and/or promotion of, clinical research in a community setting • Service on governance or advisory committees in a community organization • Mentoring community organization staff in research planning and/or funding proposals • Teaching activities conducted in community settings for Northwestern medical and/or graduate students/residents/clinical post-doctoral fellows/practitioners – lectures, courses, individual instruction • Teaching activities conducted in community settings for community residents, such as elementary or high school students, employees of community or faith organizations, or community residents served by sponsoring service organizations – workshops, lectures, courses, individual instruction

*Professional Service represents activities expected of faculty members for promotion by virtue of their faculty appointment and should be combined with activities that demonstrate Scholarship or Recognition and Leadership for successful promotion. For the Health System Clinicians only expected professional services are those that apply to the clinical service.

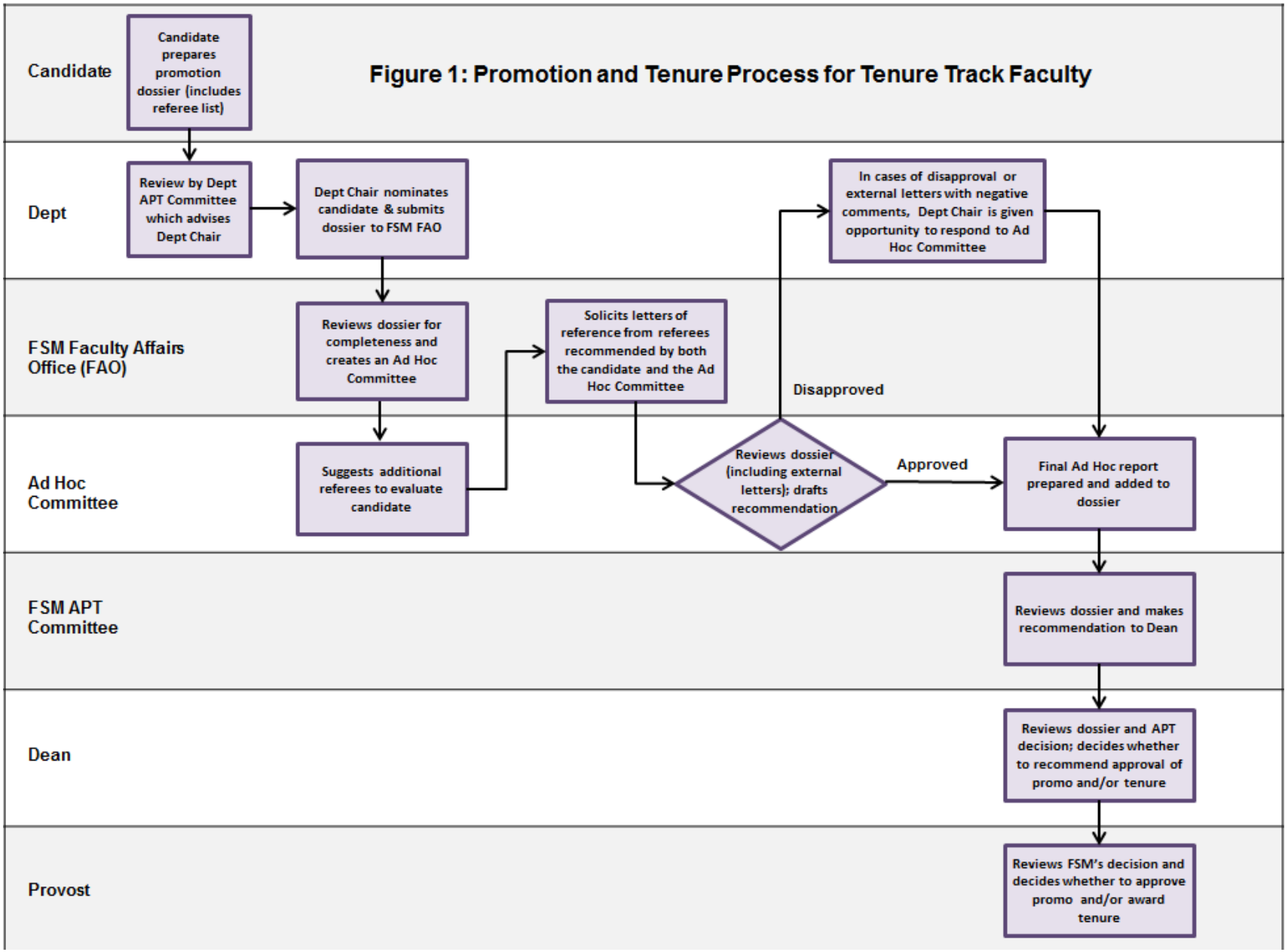
Table 4: Domains of Activity on the Team Scientist Career Track and Examples of Accomplishments

Domain	Dimensions of Achievement and Examples of Contributions		
	Scholarship[+]	**Recognition and Leadership**	**Professional Service***
Research	• Contribute to publications of innovative, original research as a member of a research team or lead or senior author • Consistent receipt of extramural (e.g., governmental and nongovernmental) funding in programmatic role as a co-investigator where a key role was played in the project • Principal or co-investigator of multicenter studies or collaborations • Principal or co-investigator on research grants • Leadership of a major data core on a center grant or multiple project grant	• Editorial activities for journals • Member of scientific review committees • Leadership activity in professional organizations • Participation in scientific review for granting agencies • Member of data monitoring boards • Awards • Visiting professorships, national presentations, and invited lectures	• Review activities for journals. • Mentorship of junior faculty, fellows, and graduate students.
Education	• Novel contributions to education research and development • Development of new approaches to teaching (e.g., audiovisual, web-based, texts, manuals, curriculum development, and student assessment and educational/programmatic evaluation) • Evidence for dissemination of teaching scholarship • Collaborations with Searle Center for Teaching Excellence	• Receipt of teaching awards • Recurring exceptional teaching effectiveness on evaluations • Leadership activities in medical school or university education. • Leadership in national organizations whose primary focus is education. • Editorial activity for education journals. • Visiting professorships, national presentations, and invited lectures.	• Educational service contributions to medical school or university. • Mentorship of junior faculty, fellows, and graduate students. • Review activities for education journals. • Development of systems that support teaching • Participation in student/resident recruitment and selection

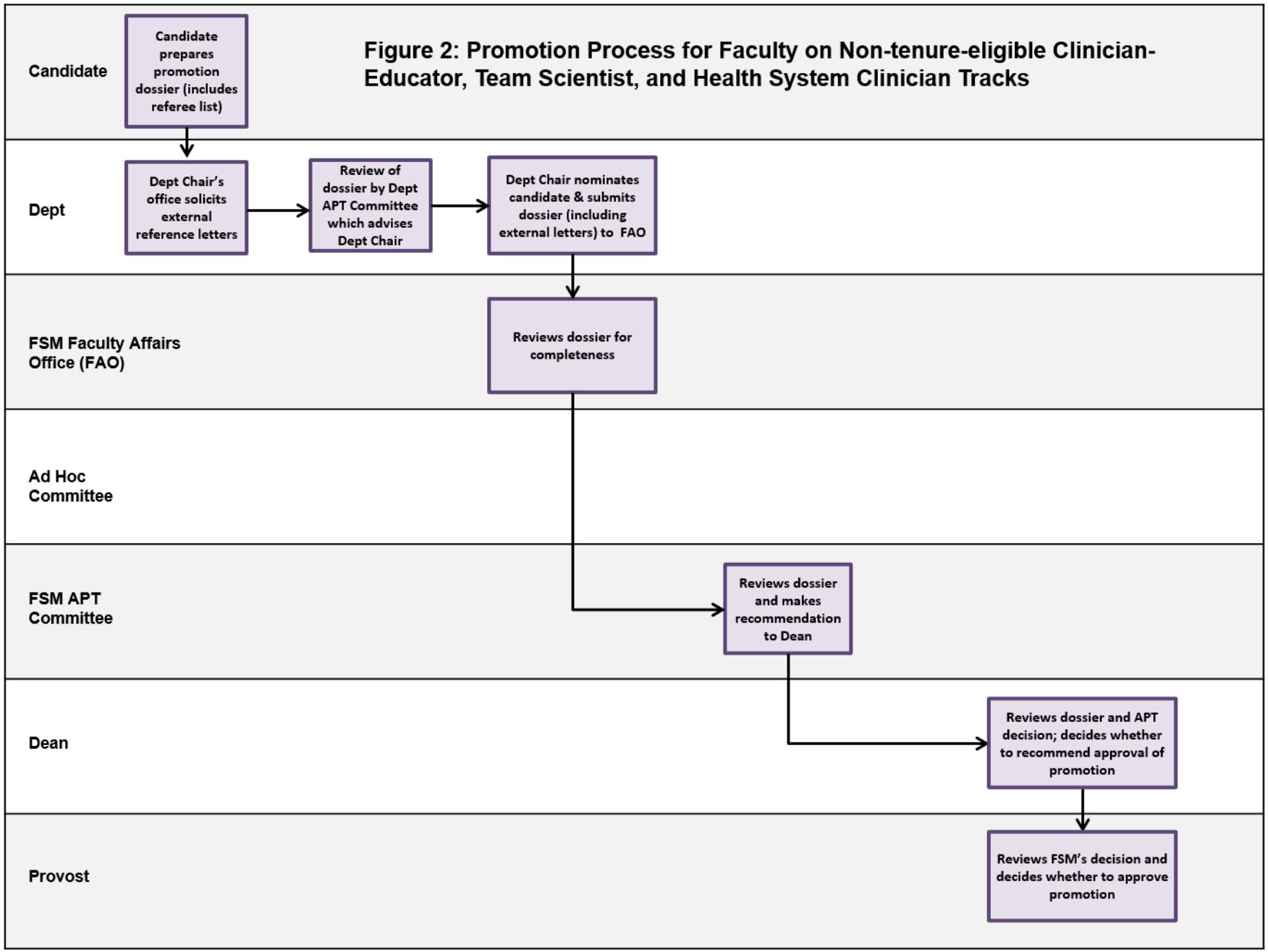
[+]Examples of scholarship are provided, but there is not an expectation that an individual faculty member will have accomplished all of these; rather, some of these examples or other scholarly accomplishments will be evident at the time of promotion. Faculty choosing research as their domain are expected to have accomplishments in the Scholarship and Recognition and Leadership dimensions for research and contributions in the Professional Service dimension for education. Faculty choosing education as their domain are expected to have accomplishments in the Scholarship and Recognition and Leadership dimensions for education. These faculty may also make contributions to collaborative research similar to that described for those who choose the research domain, but this is not a requirement for those who choose the education domain.

*Professional Service represents activities expected of faculty members by virtue of their faculty appointment and not activities that demonstrate Scholarship or Recognition and Leadership needed for promotion. For the Health System Clinicians only expected professional services are those that apply to the clinical service.

Figures



Note: Departments' internal processes for evaluating and recommending candidates for promotion and tenure vary, and departments with divisions may have additional division-level steps for nominating candidates. Faculty should check with their department or division leadership to learn the internal departmental process.



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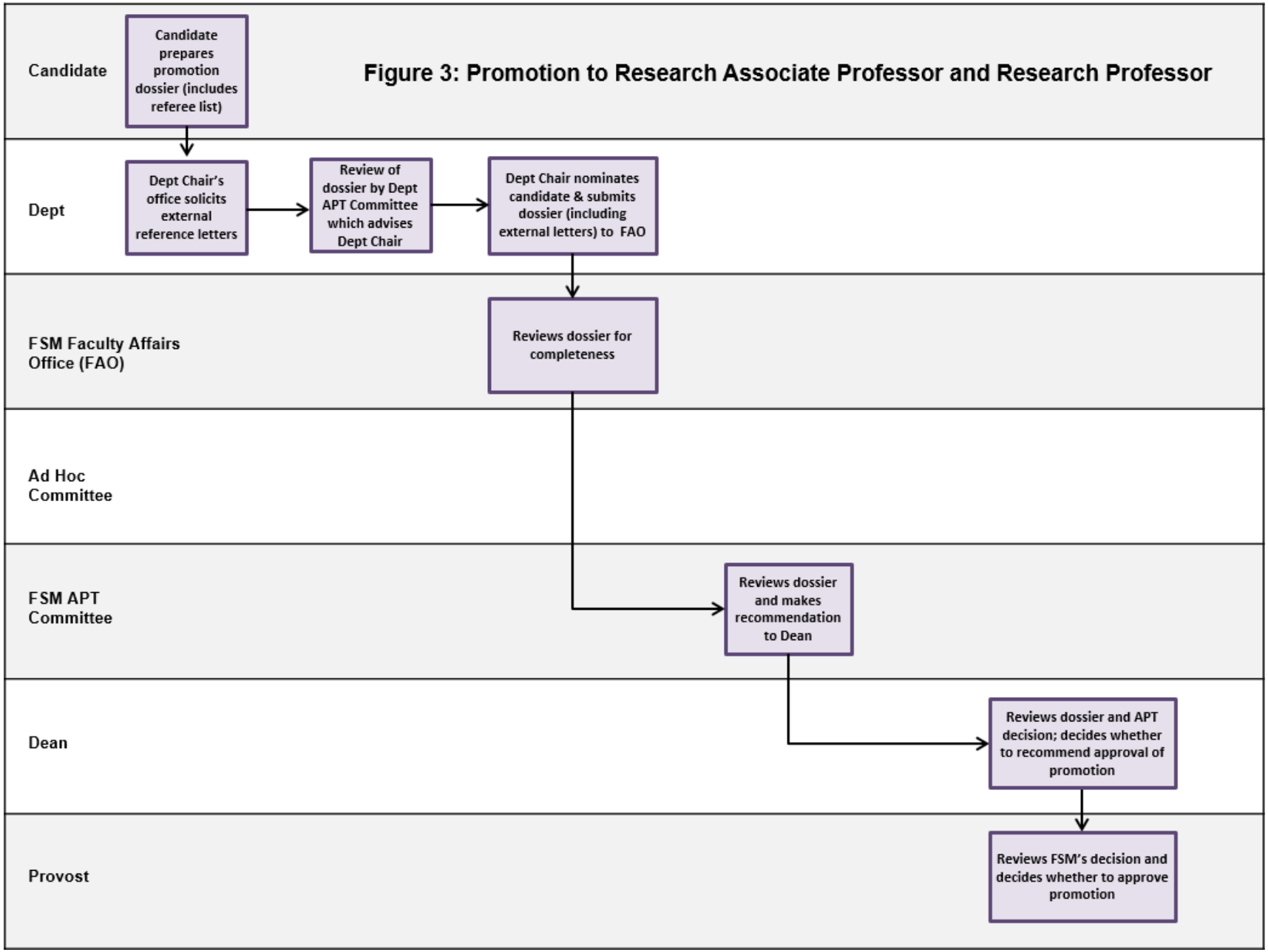

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