

CRITERIA AND GUIDELINES FOR APPOINTMENT AND PROMOTION OF FACULTY UNIVERSITY OF ILLINOIS COLLEGE OF MEDICINE

SECTION I. INTRODUCTION

This document presents criteria and procedures applicable to the appointment and promotion of faculty in the University of Illinois College of Medicine. It replaces the College of Medicine Criteria and Guidelines for Appointment and Promotion of Faculty (approved September 11, 1985). The new document provides for a continuation of the College's established criteria for faculty rank but with modified emphasis and greater clarification. This document is intended to be consistent with standards and procedures for academic rank as described in the University of Illinois Statutes and Campus operating guidelines for both Chicago and Urbana-Champaign. Should there be inconsistencies, the Statutes and the Campus guidelines shall prevail.

The following areas are discussed:

SECTION II. Academic Ranks

SECTION III. Faculty Tracks/Standards for Academic Rank

SECTION IV. Documentation of Qualifications

SECTION V. Procedures for Appointment and Promotion

SECTION II. ACADEMIC RANKS

Appointment and promotion in academic ranks are a means by which the University recognizes and rewards achievement for the academic endeavors of research, teaching, service, and patient care where applicable. The following academic ranks are recognized:

Assistant: Individuals at this rank should have a minimum of a baccalaureate degree and participate in the teaching or research programs of the College. The titles "teaching assistant" and "research assistant" are reserved for students currently enrolled at the University of Illinois.

Associate: Individuals at this rank should have a minimum of a master's degree and should participate in the teaching or research programs of the College. The title "research associate" is reserved for postdoctoral fellows.

Instructor: Faculty at this rank should have an earned doctoral degree. Clinicians should have completed three years of residency training.

Assistant Professor: Faculty at this rank should meet the criteria for Instructor and should ordinarily have completed a residency/fellowship training program or at least two years of postdoctoral experience. Clinicians should normally be board certified.

Associate Professor: Faculty at this rank should ordinarily have completed at least five years as an Assistant Professor or equivalent at the time the review for promotion is initiated, although early promotion may be considered.

This rank signifies a high level of professional accomplishment and a significant commitment by the faculty member to the University's programs. There is no automatic promotion to the associate professor level based solely on years in rank. Documentation of excellence is required.

Professor: Faculty at this rank should ordinarily have completed at least five years as an Associate Professor or equivalent at the time the review for promotion is initiated, although early promotion may be considered. This rank signifies an extremely high level of professional accomplishment and is not awarded solely based upon years in rank. Documentation of excellence is required.

These ranks may be used in conjunction with the College's various tracks, which are described in Section III. It should be noted that appointments in the clinical discipline, clinical, research, adjunct and visiting tracks, (rank with "of clinical ____" or modified by "clinical", "research," "adjunct", and "visiting" respectively) may not be for an indefinite term (e.g. with tenure), nor is one on the probationary term in these tracks. Rather, appointments in the clinical, research, adjunct and visiting tracks are on an annual basis and notice of non-reappointment is not required and appointments in the clinical discipline track are on a "W" contract.

The rank of "departmental affiliate" may be awarded to individuals in other academic units of the University when their participation in the programs of the College of Medicine warrants it. This appointment does not carry tenure and is made annually with the concurrence of the College, the primary department, and the individual. Notice of non-reappointment is not required.

The rank of "lecturer" is normally used to denote an individual who has responsibilities at the College of Medicine and simultaneously holds a faculty appointment at another medical school. Use of this rank evolved from agreement by Chicago area deans that primary faculty appointments for individuals should be limited to one medical school. This appointment does not carry tenure. Notice of non-reappointment is not required.

SECTION III. FACULTY TRACKS/STANDARDS FOR ACADEMIC RANK

Faculty of the College of Medicine are normally in one of the following tracks: Academic (Research/Teaching or Clinical/Teaching), Clinical Discipline, Clinical, Research, and Adjunct. In addition, Visiting as a prefix before the rank may be used in special cases. While it is possible to switch tracks, there are logical points in career development when changes should be considered and other times when changes are not permitted (see Section V).

A. **Academic Track**

To be eligible for this track, a faculty member must be salaried greater than 50% for University-related activities. When salaried by the University, faculty at the rank of Instructor and above are normally in the tenure track. Two sub-tracks exist within the academic track and are designated as Academic (Research/Teaching) and Academic (Clinical/Teaching). Criteria for the Academic (RT) Track and the Academic (CT) Track emphasize excellence in different areas, as described in detail later in this document. While recommendations for appointments and promotions must signify the track and the track designation is a part of official College records, there is no public distinction in terminology of titles in the Academic Tracks.

1. **Academic (Research/Teaching)**: This track is for faculty, both clinical and basic science, with significant research commitment in addition to teaching and service, including patient care where applicable. Appointment or promotion of faculty in the Academic (RT) Track depends primarily on achievement in scholarly research and teaching. The hallmark of academic achievement is the generation of new knowledge through creative and original research, and excellence in this area is usually the primary basis for promotion. The quality of publications, consistency of performance, and the extent of involvement of the candidate in research are more important than overall quantity of articles. Furthermore, attainment of external support after significant peer review is particularly important for advancement in rank to Associate Professor or Professor. Invited papers presented at scholarly meetings and conferences, research seminars presented at other institutions, and service on national scientific advisory boards are additional criteria for promotion in the Academic (RT) Track.

Occasionally, the primary basis for promotion may be excellence in teaching and contributions to the mission of the department and College, although in such cases significant research activity is also expected. Service to the University is an important faculty responsibility and is therefore a factor in appointment and promotion considerations, but it is not sufficient in the absence of research activity and excellence in teaching.

Instructor: Faculty at this rank should demonstrate potential for excellence in research, teaching, and service including patient care where applicable. An appointment as an Instructor should be given for a relatively short period of time (such as three years or less), after which faculty members at this rank should be considered for promotion to Assistant Professor. When salaried by the University, appointment at the Instructor level normally begins the six-year probationary term.

Assistant Professor: Faculty at this rank should have demonstrated evidence of original research in the form of publications in refereed journals.

Associate Professor: Faculty at this rank should be actively engaged in research. Establishment of a research program is a fundamental requirement for promotion. Faculty should be contributing significant new information to the scientific literature, should have demonstrated promise of becoming leaders in their fields, and should have attained some recognition at the national level.

Professor: Faculty at this rank should have demonstrated continuing excellence in both teaching and research and should have shown significant innovation in their work. They should have demonstrated leadership in their fields which brings recognition and enhanced stature to the University and should be recognized nationally for their accomplishments.

2. Academic (Clinical/Teaching): This track is for clinical faculty with a primary commitment to, and demonstrated excellence in, teaching and service including patient care. Promotion in this track is usually achieved through the development and application of creative advances in medical care and the fostering of such clinical care in students through teaching excellence. In addition, scholarly activity leading to publications is required.

It is expected that individuals being appointed or promoted in the Academic (CT) Track will be excellent clinicians. The development of a quality practice, which is used as a base for teaching students and residents, enabling the faculty member to serve as a role model and providing the opportunity for the development of new clinical techniques, is of major importance when performance is judged. Affirmation of the high quality of clinical practice may be used as an indication of peer recognition.

Articles in refereed journals, case reports, review articles, abstracts, and book chapters may be considered to meet the requirement for publications in this track. The candidate need not be the senior author, but evidence of significant involvement in the work or in the preparation of the publications should be provided. The publications considered adequate to meet this requirement are fewer than in the Academic (Research/Teaching) Track. Quality of publications is more important than overall quantity. Presentation of papers at scholarly meetings or conferences, especially when the papers are screened by a review committee, or participation in national and/or international meetings or organization of sessions for such meetings are important criteria for promotion. The receipt of external funds for research and other scholarly pursuits is encouraged but not required for promotion in this track.

Instructor: Faculty at this rank should demonstrate potential for excellence in teaching and patient care. An appointment as an Instructor should be given for a relatively short period of time (such as three years or less), after which faculty members at this rank should be considered for promotion to Assistant

Professor. When salaried by the University, appointment at the Instructor level normally begins the six-year probationary term.

Assistant Professor: Appointments at this rank normally require evidence of a commitment to excellence in teaching and patient care.

Associate Professor: Faculty at this rank should have demonstrated excellence in teaching and patient care and should be engaged in some scholarly activity. They should show promise of becoming leaders in their fields, should have demonstrated the likelihood of developing a high quality practice, and should have attained a reputation of excellence at the local or regional level.

Professor: Faculty at this rank should have demonstrated continued excellence in their teaching and patient care activities and should be engaged in scholarly activity. They should have demonstrated leadership in their fields which brings recognition and enhanced stature to the University, should be recognized regionally or nationally for their contributions, and should normally have developed a high quality practice.

B. Clinical Discipline Track

This track is used in the clinical departments for faculty who are primarily involved in patient care, teaching, and service. To be eligible for this track, a faculty member must be salaried greater than 50% for University-related activities. Primary commitment by the faculty member to College of Medicine programs is expected and frequently demonstrated through contributions to the mission of the department by development of a clinical practice. Faculty in this track are not in the tenure track or tenured and will be required to sign waiver of tenure agreements.

Appointment or promotion of faculty in the Clinical Discipline Track depends primarily on teaching and patient care and on stature in the practice of medicine. Individuals in this track will frequently be key contributors to a department's clinical activities. At the Instructor of Clinical Discipline and Assistant Professor of Clinical Discipline ranks, a commitment to teaching and service must be evident; appointment or promotion to Associate Professor of Clinical Discipline or Professor of Clinical Discipline requires clear documentation of excellence in teaching and patient care. In addition, scholarly activity or recognition related to the practice of medicine should be demonstrated.

Instructor of Clinical Discipline: Faculty at this rank should participate in the patient care and educational programs of the College, in particular, in lecture, tutorial, and clerkship activities.

Assistant Professor of Clinical Discipline: Normally faculty at this rank will have demonstrated potential for contributing to the teaching and patient care programs of the College.

Associate Professor of Clinical Discipline: Faculty at this rank should have fulfilled potential for achievement in teaching and patient care programs by demonstrated excellence in teaching and by development of a high quality and substantial clinical practice. Alternatively, this rank may be used to recognize only teaching excellence when performed at a very high level and with resulting scholarly contributions in terms of publications, teaching innovations, curricular development, or development of graduate medical education programs. Faculty should have received local recognition as a clinician and/or teacher.

Professor of Clinical Discipline: Faculty at this rank should have demonstrated a high level of professional accomplishment in teaching and patient care programs and should be recognized at the regional level for achievement in at least one of the two areas. It is expected that faculty will have developed a high quality and substantial clinical practice. In some instances this title will be appropriate to recognize major contributions in a singular area, such as teaching, administration, or service, especially when these contributions and achievements are broadly recognized either within or outside the University.

C. Clinical Track

This track is used in the clinical departments primarily for faculty who are involved in patient care and teaching and have little or no involvement in research. Faculty in this track are voluntary or salaried 50% or less for University related activities. They are on fixed term appointments and not in the tenure track.

Appointment or promotion of faculty in the Clinical Track depends primarily on teaching and patient care and on stature in the practice of medicine. Since individuals in this track usually have major professional commitments outside the University, comprehensive contributions to the College are not expected. Instead, demonstrated excellence in teaching or service will generally meet promotional requirements.

Clinical Assistant and Clinical Associate: Individuals at this rank should participate in the teaching of medical students in the College.

Clinical Instructor: Faculty at this rank should participate in the educational programs of the College, in particular, in lecture, tutorial, or clerkship activities.

Clinical Assistant Professor: Normally, faculty at this rank will have participated actively for at least two years in the educational programs of the College or will have had comparable educational experience in another institution.

Clinical Associate Professor: Faculty at this rank should have demonstrated sustained commitment to the educational program of the College by accepting

ongoing teaching assignments. It is expected that expertise and excellence will be demonstrated in the performance of such responsibilities.

Clinical Professor: Faculty at this rank should have demonstrated involvement in the mission of their department and the College. This rank may be used to recognize sustained teaching excellence or contributions in the practice of medicine which bring stature to the College. Faculty should have received peer recognition at the regional level for their achievements.

D. Research Track

This track may be used for faculty members whose primary commitment to the College is in research. While a faculty member must be salaried greater than 50% for University-related activities to be eligible for the Research Track, in practice this track is most frequently used for full-time faculty. In basic science departments, faculty with the research prefix normally have reduced teaching activities. Within the clinical departments, the research prefix normally designates faculty members who are credentialed in a field (usually a basic science) other than the primary clinical discipline of the department and who have a major commitment to research.

Criteria for the various ranks in the Research Track are basically the same as for the Academic (RT) Track with the recognition that faculty with the research qualifier normally have reduced teaching and service activities, but correspondingly greater research activity.

E. Adjunct Track

Adjunct as a prefix to a rank normally denotes a faculty member whose major time commitment is not at the University and/or who has credentials in a field other than the primary discipline of the appointing department. Such a faculty member is generally salaried 50% or less for University-related activities or participates on a non-salaried basis. Faculty in the Adjunct Track are on annual appointments and not in the tenure track. Progression in rank in the Adjunct Track tends to parallel the level of professional development achieved by the faculty member in his or her own field. The minimum requirement of a doctoral degree at the instructor level may be met by a relevant non-doctoral degree. In appointing or promoting a faculty member in the Adjunct Track, it is essential to identify academic activities and achievements within the College of Medicine.

F. Visiting Track

Visiting as a prefix to a rank normally denotes a faculty member whose appointment is temporary. Faculty in the Visiting Track are on annual appointments and not in the tenure track.

SECTION IV. DEMONSTRATION OF QUALIFICATIONS

The intent of this section is to describe the evidence that is evaluated and assessed when a faculty member is considered for a given academic rank. Documentation will be required for contributions in research, teaching, and service, including patient care where applicable.

Letters of evaluation from experts in the candidate's field are a significant factor in consideration for appointment or promotion. Individuals from whom letters of evaluation are requested should be told the criteria for scholarly activity as defined in this document and should be asked to comment on the skills of the candidate as appropriate for the relevant track. Evaluation of the quality and significance of the faculty member's standing relative to individuals at the same level of appointment or advancement must be provided. For appointment or promotion to tenurable ranks, letters from at least four but no more than eight scholars or professional specialists outside the University who have not been significant collaborators or mentors of the candidate are required. A majority of the external references should be nominated by someone other than the candidate. All references should be acknowledged authorities in the field and should hold at least the rank for which the candidate is being proposed. Up to three additional letters may be submitted from individuals who personally know the candidate and can address the candidate's qualifications in the areas of teaching, patient care, and University service.

A. Research and Scholarship

Research involves an organized system of measurement, observation and comparison. Scholarly activity, of which research is a part, may also include clinical case reports, literature reviews, abstracts, invited presentations, and contributions to education. While indices of scholarly activity may differ by discipline and by rank, evidence of achievement includes:

1. Publications. The quality of publications, the consistency of productivity, and the number of publications are all factors which will be considered. Considerations in judging the quality of scholarly work include whether or not the journals are refereed, the number of authors, and the role of the candidate in the execution of a project. It is recognized that disciplines have different norms for order of authorship, and an explanation of the norms for the candidate's discipline should be provided. Publications which are not yet in print but have been accepted should be appropriately documented.

2. Support for Research. The organization and execution of a creative, productive, and sustained research program provide significant evidence of scholarly capabilities. Grants obtained as a principal investigator after peer review at the national level are particularly important for appointment or promotion to the rank of Associate Professor or Professor in the Academic (RT) and Research Tracks. Other types of research grants which will contribute to the scientific body of knowledge are also important. In view of the decreasing percentage of funded applications, unfunded grants which are favorably reviewed may be taken into account.

THE FOLLOWING CONSTITUTE EVIDENCE OF NATIONAL RECOGNITION
NORMALLY BASED UPON ONE'S SCHOLARLY ACHIEVEMENT.

3. **Presentations at Scholarly Meetings and Conferences.** Research stature can be assessed, in part, by invited papers presented at scholarly meetings and conferences. In addition, papers given at meetings or conferences which have been screened by a review committee should be indicated. Invitations to participate in national or international meetings or to organize sessions for such meetings are evidence of peer recognition of research accomplishments.
4. **Appointment to Editorial Boards of Professional Journals.** Service on editorial boards of professional journals or as peer reviewers of manuscripts provides evidence of the candidate's stature within his/her discipline.
5. **Invited Seminars.** A list of research seminars given by the candidate at other institutions provides evidence of research stature.
6. **Service on National Scientific Advisory Boards.** Service on study sections for NIH, NSF, or other national research advisory boards provides evidence of national stature in a research field.
7. **Election to office in national scientific organizations.**

B. Teaching

The categories to be used in judging teaching performance for all faculty members are listed below. It is expected that those individuals who are being recommended for promotion primarily on the basis of excellence in teaching will be able to document excellence in these categories. Documentation of teaching achievement includes:

1. **Student Performance.** Objective measures, particularly external, of student progress in the courses in which the candidate teaches provide evidence of teaching achievement.
2. **Systematic and Standardized Student/Resident Evaluation of Instruction.** Student/resident evaluation of teaching is the responsibility of departments and should encompass classroom/laboratory teaching assessment and clinical teaching assessment. The standard College assessment forms should be used and qualitative information compared to departmental norms.
3. **Peer Appraisal of Instruction.** Peer evaluation of teaching is the responsibility of departments and should encompass classroom/laboratory teaching assessment and clinical teaching assessment. Standard College assessment forms address rating

of teaching performance by peer observation, a validity check through an interview form to be used with students immediately following peer observation, and how the faculty teacher assesses written materials of students.

4. **Instructional Material and Methodology.** Faculty members should provide a written description of new teaching methods or subject matter, listing the objectives, explaining the reasons why a new teaching method is being introduced, and comparing the new or non-traditional approach with conventional methods. The evaluation of new or non-traditional teaching methods or subject matter will be judged by peers and department heads through a standard College assessment form.
5. **Teaching Responsibilities.** A list of the candidate's specific teaching responsibilities, including the number of contact hours, preparation hours and committee work hours, provides valuable information about the candidate's commitment to teaching. The teaching workload over a number of years indicates the scope of activity.
6. **Awards for Teaching Excellence.** A list of awards received by the candidate for excellence in teaching provides another measure of the candidate's teaching ability.

C. Patient Care and Related Clinical Activities

If quantitative data are provided for clinical activity, norms should also be included. Indicators of excellence in clinical affairs include the following:

1. Evidence of peer recognition in the community as a consultant or a primary provider as assessed by patient referrals. The department head/chair may obtain independent letters from colleagues in the community as a means of documenting recognition.
2. Total time commitment of the candidate devoted solely to patient care activities.
3. Membership on advisory committees of and consultantships to hospitals and educational, clinical, or other similar institutions.
4. Programs of national, state, or local professional organizations which the candidate organized or in which he/she participated.

D. Service

In evaluating a faculty member's service contributions, specific letters from the department head/chair, senior department members, deans, peers on committees, or

committee chairpersons in regard to the faculty member's performance may be provided.

Evidence of University service includes:

1. Administration of a department or other formally organized unit of instruction or of a clinical service.
2. Director of special departmental or interdepartmental training or research programs.
3. Service as a class or student advisor.
4. Member of department, program, College, or University governing bodies.
5. Member or chairperson of department, program, College, or University committees.
6. Representative of the department, program, College, or University to outside agencies.
7. Chairperson of course committees.
8. Participation in the design or delivery of continuing medical education programs. A list of such programs and the candidate's role and documentation concerning the quality of the candidate's contributions should be submitted.
9. Appointment or election to offices in local, regional and national medical societies.

SECTION V. PROCEDURES FOR APPOINTMENT AND PROMOTION

A. Recommendation and Review Process

Recommendation for appointment and promotion go from the Department Head or Chair to the Director (for Peoria, Rockford and Urbana only), to the Dean, to the Dean of the Graduate College (for Academic [RT] and Research Tracks only), to the Vice Chancellor for Academic Affairs, to the Chancellor and ultimately to the Board of Trustees. All decisions to grant tenure are ultimately made by the Board of Trustees. In disciplines which have an Executive Head, the Department Head/Chair should forward the recommendation to the Executive Head for approval before it goes to the Director. When a faculty member is credentialed in a field other than the discipline of the appointing department, the alternative for the unqualified track is (rank) of _____(e.g. anatomy) in _____(e.g. surgery). In such cases endorsement of the rank by the department head of the field in which the individual is credentialed is required. In Urbana when a faculty member has dual appointments in both the College of

Medicine at Urbana and a department of the UIUC Campus, a special process has been approved to obviate a full and separate evaluation by both campuses.

All appointments and promotions to the Associate Professor and Professor levels should be reviewed within the originating department by an appointments and promotions committee. While the size and structure of these committees may vary, they should all provide independent advice to the department head or chair who does not sit as a member. Peoria, Rockford and Urbana also have a review level by local appointments and promotions committees and executive committees. The decisions of all review bodies should be submitted along with recommendations for appointment, promotion and tenure.

At the College level appointments and promotions to Associate Professor and Professor in all tracks except Visiting are reviewed by the Committee on Faculty Appointments, Promotions and Tenure and the Executive Committee, both of which are advisory to the Dean.

B. Track Switching

College faculty are in one of the tracks as described above, dependent upon individual time commitment to the University, career direction, and role in the College. Track switching can occur if an individual's commitment to the University changes substantially or if his or her role or career direction changes. Should a switch be desirable, there are logical points when it should be considered and other times when it is not permitted.

Movement between the tenured and non-tenured tracks can occur; however, such action is not permissible as a means of extending the probationary term. Furthermore, a candidate for promotion must have spent the previous three years in the track in which a promotion recommendation is being made.

Changes between the Academic (RT) and Academic (CT) subtracks do not foster extension of the probationary term and, consequently, are permissible. An important element of the mid-probationary review should include an evaluation of the appropriate subtrack for the probationary faculty member, and it is recommended that a subtrack change occur if the individual's role and career direction differ from original expectations. While subtrack switching at the time of promotion is discouraged, it is not prohibited. However, one cannot change subtracks and be resubmitted for promotion during the same cycle that a promotion has been disapproved at the College level or above. When subtrack switching is recommended at the associate professor or professor levels, a justification should be submitted to the College Committee on Faculty Appointments, Promotions and Tenure.

C. Review During Probationary Period

Review during the probationary period will be conducted in accordance with Campus and University policies and regulations.

D. Joint Appointments

In addition to their primary appointments, faculty members may have joint appointments in other College of Medicine departments or in other University of Illinois colleges. Likewise, faculty members may have joint appointments in the College of Medicine when their primary appointments are in other colleges. Recommendations for joint appointments are normally based upon mutual interests or activities and provide full faculty privileges in secondary departments.

At the Chicago campus a faculty member can hold different ranks in different departments and colleges. Upon initial appointment and promotion within the College of Medicine, the recommendation and review process as described earlier must be followed.

Other ways of recognizing joint interests and activities include appointing an individual as a departmental affiliate or as a Graduate College faculty member. Neither of these titles provides full faculty status in the College of Medicine.

E. Documentation Requirements for Appointment/Promotion Recommendations to the Associate Professor and Professor Levels

In its review of recommendations for appointment and promotion, the College Committee on Faculty Appointments, Promotions and Tenure considers in-depth candidates' achievements in relation to the criteria for the proposed rank. Required documentation for each candidate includes a description of past, current and proposed activities; achievements in the areas of research, teaching, service, and patient care; letters of recommendation; College and University summary forms; reprints of articles; and CV and bibliography. The outcome of reviews at the department and program level should also be included with the documentation. It is extremely important that detailed information on the accomplishments of each candidate for appointment or promotion be submitted at the time the initial recommendation is made. It is the responsibility of the Department Head/Chair to emphasize the importance of a candidate's contributions and achievements which he or she feels are of special significance. Documentation of excellence is required.

F. Disapproved Recommendations

Department Heads or Chairs or the candidates themselves may request further consideration of recommendations which have been disapproved by the College Committee on Faculty Appointments, Promotions and Tenure only by presenting significant additional information to the Committee which addresses the reason(s) for the disapproval. They also have a right for formal review at each step beyond the level of disapproval and may have the full dossier considered along with formal written comment which addresses the reason(s) for the negative evaluation.

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