



# Elson S. Floyd College of Medicine

WASHINGTON STATE UNIVERSITY

Advisory Guideline Title: Guidelines for the promotion of research track faculty

Applies to: Research Track Faculty Members (non-tenure track) including members of the faculty who are not eligible for tenure, but are eligible for promotion.

Date: 7/21/2017

## **1.0 Guidelines for the promotion of research track faculty**

Members of the faculty are expected to make significant contributions to research and scholarship, and when appropriate teaching, and service missions of the Elson S. Floyd College of Medicine (ESFCOM). This document outlines the ESFCOM criteria for promotion to Associate Research Professor and Research Professor. The College recognizes that some Research faculty will be focused entirely on research and scholarship, while others might also provide teaching and service. Therefore, each faculty member will be evaluated in terms of the workload of scholarship, teaching, and service outlined in the offer letter or re-negotiated agreement with the Chair of her/his respective home department. Candidates for promotion shall be evaluated in accordance with the guidelines outlined in the Faculty Manual of Washington State University.

All research track appointments are for up to three years and are renewable contingent upon the needs of the ESFCOM, funding and satisfactory performance. An unsatisfactory annual performance review will lead to a one-year terminal appointment. The promotion procedures for research faculty are similar to those established for tenure-track appointments.

## **2.0 Definitions**

*Annual Review* – Annual review forms are submitted by the Chair/Associate Chair for all faculty who have not submitted a resignation or a plan for retirement effective the year of the review. Principal Investigators who provide funding to or supervise the faculty member will provide input. Reviews are also required for all temporary faculty on grant funding, who may be eligible for salary increases if salary money is available and they were reappointed. Reviews are usually completed in a designated WSU-wide faculty electronic system (for example, WORQS, Digital Measures, etc.) and sent to Human Resources. The period of each annual review is from January 1 to December 31, and is submitted to the Provost Office by May 1 of the following year. The annual review provides feedback relative to the department expectations, and guides critical personnel decisions. Faculty are to be evaluated in terms of their performance during the individual year in question, in relevant areas (e.g., teaching, research, service, outreach and engagement, etc.), as designated by the department. References should be made to research, publications, student evaluations and other indicators of quality performance.

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The following merit system is usually used:

- Especially meritorious performance
- Strong performance beyond satisfactory
- Satisfactory
- Some improvement needed
- Substantial improvement needed

The numeric rating and the narrative review of each faculty review must be consistent. The evaluation should include goals for the upcoming year, and the evaluator and the evaluated faculty member must agree that the goals for the upcoming year are reasonable. Those goals would serve as the basis for the annual review in the upcoming year, particularly with respect to research and scholarly accomplishments.

The Faculty Manual requires that comparative feedback must be provided to faculty in the form of the mean and standard deviation of the merit ratings for all faculty in the department or unit/campus, for all departments and units with more than four faculty. These summary statistics must appear on the final annual review form provided to the faculty member.

Upon annual review completion, the faculty review is forwarded to the ESFCOM Dean and (as applicable) to the appropriate Vice President and Campus Chancellor. Each faculty member must be given a copy of their annual review. The faculty member must be given at least two working days to sign the review indicating that they have read the review and discussed it with their supervisor. The faculty member may append comments to the report. An acknowledgement that the appended statements have been reviewed by the supervisor and evaluator should be provided within 15 working days. Dissenting reviews must be forwarded through the Dean to the Office of the Provost.

### **3.0 Responsibilities**

*FRPT Committee:* Abridged reviews, comprehensive reviews and intensive reviews will not be sent to the FRPT Committee for review.

*ESFCOM Dean's Office:* To collect annual review forms from each department and forward to the Office of the Provost.

*Office of the Provost:* Annual review forms for each college or unit will be forwarded to the Provost, along with a roster of all faculty required to undergo an annual review, indicating whether the review was intensive, comprehensive, or abridged, and the ratings assigned.

### **4.0 Procedures**

#### **Review Process:**

*Promotion to Associate Research Professor:* Each spring the Provost will notify the Dean of the faculty in the ESFCOM who are eligible for promotion. Faculty are notified that they will be reviewed for promotion in the spring of the fifth year at their current rank. Faculty may request a one-year extension due to extenuating circumstances, such as childbirth, adoption, or serious medical illness. Faculty who are seeking an extension

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should notify their Department Chair as soon as possible. In rare cases, Assistant Research Professors can petition for early promotion. Faculty who wish to go up for early promotion should closely consult with their Department Chair, as well as the departmental and the ESFCOM FRPT Committee. The candidate and their Department Chair will have approximately 7-8 weeks to prepare this information so that the materials can be provided to the external professional reviewers in a timely fashion. The candidate should work with the Department Chair to assure that all necessary materials are included in the promotion packet. The promotion packet (including the external professional letters *if* requested by the Department Chair) is then reviewed by all research and tenured faculty who hold a rank of Associate Professor or higher who must complete a ballot/recommendation to grant or not grant promotion. The results of these evaluations are summarized by the Department Chair in their evaluation. Faculty ballots and the Chair's evaluation are forwarded to the Dean's office along with the entire packet. ESFCOM FRPT committee members will then review the promotion packet and make a recommendation to Dean. The Dean will then provide a written summary of their evaluation of the candidate. The entire promotion packet will be provided to the Office of the Provost (typically during the last week of October) for review and a final decision on the granting of promotion. Candidates are typically notified of this decision in the subsequent spring. All promotions are effective July 1 (for faculty on annual appointments) and August 16 (for faculty on academic appointments) of the year after the promotion packet was submitted. Candidates who are not promoted can continue employment as Assistant Research Professor, pending funding and satisfactory performance evaluations. Individuals who are not promoted, may submit a new packet for promotion once they and their Chair believe that they have sufficiently addressed the issues that were raised in their unsuccessful promotion application.

*Promotion to Research Professor:* Generally, promotion to Research Professor is based upon active and longstanding excellence in research and scholarship, with excellence in teaching, and service, when applicable. Their research and scholarship should be nationally and internationally recognized. Consideration for promotion is based on the quality of the candidate's cumulative record. Time in rank is not sufficient basis for promotion to Research Professor; however, it is expected that the candidate will serve as Associate Research Professors for at least five years before seeking promotion to Research Professor in their sixth year. Faculty seeking promotion to Research Professor should confer with their Chair one year prior to seeking promotion. They should follow the procedures outlined above for Associate Research Professor when submitting their application for promotion. Only those Research and Tenured faculty holding the rank of Professor will vote and make recommendations regarding promotion to Research Professor. Failure to attain promotion to Research Professor will not result in a terminal appointment. Instead, the applicant will be given feedback on areas of improvement needed to attain promotion. They may resubmit an application for promotion if they and their Department Chair believe they have successfully addressed the issues that led to an unsuccessful initial application.

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*Overall Promotion Procedures:* The candidate is responsible for preparing and maintaining a personnel file that provides material bearing on the criteria identified below, which may include:

- a) Research Statement (College Specific Requirement)
- b) Resume/CV
- c) Teaching Portfolio (if applicable)
- d) Names of suggested external reviewers (if letters from external reviewers are required by the Department Chair)

One goal of the ESFCOM is to promote a culture of collaboration, collegiality, and diversity. Therefore, promotion materials should describe how the candidate has partnered with other college and university faculty, as well as faculty at other universities and community partners if appropriate through their scholarship.

The Chair is responsible for providing past annual reviews, and third year (intensive) reviews, external letters (if requested by the Chair), department faculty recommendations, and a copy of the department and ESFCOM criteria for promotion. The ESFCOM FRPT Committee and Dean are responsible for providing their recommendations. Each candidate should work with their Chair as well as consult the Provost's yearly memo that describes requirements for the promotion packet, which is typically released in the late spring or early summer. Research faculty who do not engage in teaching or service (e.g., they are 100% grant funded) do not need to submit extensive documentation in teaching and service. However, those that do provide teaching and service should document these activities as outlined in the Provost's guidelines.

*External Letters:* The College does not require, but does allow, external letters for promotion for research faculty. Submission of external letters is at the discretion of the Department Chair. If pursued, external letters should be obtained from faculty at peer or better institutions who hold a rank at or above the rank being sought by the applicant. These faculty members may include people from non-tenured research track faculty at other universities. External professional reviewers should not have a relationship with the candidate that goes beyond that of a typical colleague (e.g., former mentor, collaborator or co-author). If external letters are sought, four reviewers may be suggested by the candidate. The Chair will obtain letters from two of these individuals. The Chair will obtain an additional two letters from reviewers not nominated by the candidate. The Chair will provide a brief one-paragraph description of each external reviewer's credentials to be included in the promotion packet. The Chair shall provide reviewers with copies of the candidate's CV and additional materials noted above documenting the candidate's accomplishments. The Chair shall ask external reviewers to provide an evaluation of the quality and significance of the candidate's work and the candidate's suitability for promotion.

*Voting:* All eligible departmental faculty must evaluate and provide recommendations. Only those with personal conflicts of interest (e.g., spouses, family members), are allowed to abstain. Individuals, such as Chairs or members of the FRPT committee, can only provide one written recommendation (i.e., they cannot vote twice). These

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individuals can, however, participate in discussions of the candidate if, for instance, they serve on the College FRPT. All eligible department faculty must be provided with the full promotion packet, as well as time to review and comment on the candidate's suitability for promotion. If a department has fewer than five eligible faculty who can vote, then the Chair will work with the Dean and Provost's office to identify additional eligible faculty throughout the College or University who will submit recommendations.

## **Areas of Evaluation**

*Research/Scholarship:* In the ESFCOM, scholarship and research, that are a product of work performed at WSU, can take many forms, given the diversity in the types of research conducted by our faculty. Success in scholarship and research will be evaluated by the metrics below, taking into account the type of research conducted by each faculty member. Each candidate should prepare a scholarship and research statement that succinctly summarizes the candidate's research accomplishments within the context of a systematic program of research. This document is limited to two pages. The following is a non-prioritized, illustrative list of evidence of effectiveness in research or scholarly productivity:

- A. Authoring peer reviewed research publications
- B. Serving as a Principal Investigator on externally funded research grants or contracts, including Federal, State, Foundation, and Corporate sponsors
- C. Serving as a Co- Investigator on externally funded research grants or contracts, including Federal, State, Foundation, and Corporate sponsors
- D. Serving as a Principal Investigator on peer-reviewed internally funded grants
- E. Serving as a Co-Investigator receiving subcontracted support from the grant on externally funded grants or contracts, including Federal, State, Foundation, and Corporate sponsors
- F. Serving as an Inventor, Principal Investigator, or Co-Investigator on research leading to intellectual property licensed by WSU
- G. Authoring peer reviewed abstracts, should be denoted as peer reviewed on curriculum vitae
- H. Presentations at national, state or local conferences
- I. Authorship of book chapters, textbooks, monographs, web resources, computer programs, or other written scholarship
- J. Editor of a journal or book
- K. Service on editorial boards of scholarly publications
- L. Invited research publications
- M. Invited lectures at WSU, other institutions, professional and scientific conferences, or medical centers
- N. Authorship of policy or clinical reports or guidelines at a city, county, state, national or international level
- O. Authorship as inventor or co-inventor of provisional patent applications filed by WSU
- P. Other activities related to commercializing reviewable scientific discoveries as part of the candidate's duties at WSU

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- Q. Demonstrated integration of scholarship (research findings) into teaching and clinical work
- R. Awards for excellence in research or scholarship
- S. Authoring publications on the scholarship of teaching
- T. The design, implementation, and dissemination of results of teaching scholarship
- U. The design, implementation, and dissemination of quality improvement projects
- V. When appropriate, examples of partnership with colleagues on research scholarship
- W. Demonstration of the impact of the candidate's scholarship

*Teaching:* Not all research faculty will engage in teaching. Each faculty member should provide documentation consistent with their involvement in teaching. In the ESFCOM, teaching may take a variety of forms including but not limited to, classroom instruction, clinical supervision, student mentorship, advising and serving on masters or doctoral thesis and dissertation committees. Documentation of excellence in teaching is done primarily through a Teaching Portfolio (as described in the Faculty Manual) that does not exceed five pages. The candidate prepares, signs and dates this document. It does not need to include all information (e.g., all student evaluations), but instead evidence that supports teaching excellence. The following information should be included.

- A. Teaching Goals/Philosophy: A compact but thoughtful statement about the candidate teaching aspirations, strategies used for improvement, obstacles overcome and goals for teaching in the near future.
- B. Teaching Responsibilities: This should include a clear description of the candidate's percent effort dedicated to teaching, the specific courses, components, or threads taught, students supervised, settings in which supervision occurred, students advised or other advising activities, and graduate committee service. Descriptions should be as specific as possible and include information that allows for evaluation of the quantity and intensity of teaching. Other examples of teaching responsibilities include:
  - a. Instructional innovations
  - b. Extraordinary efforts with special groups of students
  - c. Using research in teaching: including using hands on research in the classroom or integrating scientific findings or methods into clinical supervision
  - d. Out of class evaluation activities: involvement in development or evaluation of new curriculum
  - e. Service on committees focused on instruction
  - f. Learning about teaching-efforts to improve teaching
  - g. Obtaining external funding to improve teaching or improve clinical programs
  - h. Teaching continuing education courses
- C. Evaluations: This section should consist of summaries of data from whatever methods for evaluating teaching are used and include evaluations by other groups besides students. The candidate can include explanations of evaluations that they believe may be potentially misleading. Teaching evaluations can include:

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- a. Student evaluations
- b. Measures of student learning (e.g., performance of students on standardized tests)
- c. Peer evaluations: includes ratings by peers regarding observation of teaching, review of instructional materials. Letters from faculty can be included
- d. Letters from former students
- e. Teaching awards
- f. Other evaluations
- D. Results: The results of teaching should be documented and these include:
  - a. Student successes: awards, admission to graduate or post-graduate programs for which the candidate can claim some credit
  - b. Instructional materials developed: textbooks written, teaching manuals, software
  - c. Teaching scholarship: including research about instruction, publication and presentation of these findings to university and nation-wide audiences
  - d. Developing and providing continuing educational presentations or activities
  - e. Other results
- E. Collaboration: Evidence of collaborative teaching activities.
  - a. Co-teaching
  - b. Guest lecturing
  - c. Collaborating with other faculty to develop curriculum
  - d. Collaborating with others in the supervision of student's clinical work
  - e. Collaborating with other in the supervision of student research.

*Service:* Service is essential to the success of the ESFCOM and university. However, research faculty may not engage in extensive service if their primary duty is to conduct grant-funded research. Each candidate should describe the service they have conducted, including service at or on behalf of WSU and outside WSU (e.g., professional associations). It is important that the applicant document their service in a level of detail that allows for accurate evaluation. Candidates should describe how they collaborated with others in their service. Service might include the following:

- A. Departmental, College or University committee service
- B. Service in university administration
- C. Involvement in relevant professional organization, including serving in a leadership or committee position
- D. Involvement in local, state, national or international communities in a manner that improves the health and wellbeing of these communities
- E. Serving on local, state, national or international advisory committees
- F. Serving as a journal or grant reviewer
- G. Efforts to promote diversity
- H. Sponsorship or advising of student organizations
- I. Supporting/mentoring other faculty in teaching, scholarship, or service. For promotion to Full Research Professor, mentorship of junior faculty

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## 5.0 Related Polices and Guidelines

[BPPM 60.55](#)

[WSU EP #29](#)

[Faculty Manual Section III.C.3](#)

ESFCOM Guidelines for the promotion of tenure track faculty

## 6.0 Revision History

Original Approval	Guideline Number	Date Revision Approved
7/21/2017	G.FR.03.01.170721	