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PROCEDURES FOR THE APPOINTMENT, PROMOTION, TENURE,
AND EVALUATION OF TENURE-TRACK FACULTY

Approved by Academic Council
February 1, 1989

Amended by Academic Council
January 6, 1993

May 4, 1994

April 12, 2000

December 5, 2001

May 7, 2003

Rewritten and Approved by Academic Council
October 5, 2005

Revisions Approved by Academic Council
November 8, 2006

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Section 1. Definitions

- A. Curriculum Vitae (CV). The curriculum vitae is the document submitted by the candidate for consideration by independent external evaluators. Suggested items include information on Contributions to the Educational Program of the College, Research and Scholarly Accomplishments, Service Related to the College of Medicine, and Professional Standing.
- B. Days. Days as used in this document are working days.
- C. Dossier. A file containing the faculty member's documents submitted for consideration or promotion and/or for tenure.
- D. Evaluation Year. The final year of the probationary period.
- E. External Evaluator. An evaluator is an individual who is external to the College, its consortium universities and associated hospitals and health departments, and is qualified to assess the candidate's scholarly achievements and reputation.
- F. Letter of Appointment. The letter of appointment is a document initiated by the College and sets forth the conditions of employment. Any previous experience to be counted toward a faculty member's probationary time period may be negotiated prior to appointment and will be documented in the letter of appointment. Any modifications to the letter must be in writing and agreed to by both parties.
- G. Notice of Nonreappointment. Notice of nonreappointment is a written notification by the Dean that the College intends to terminate a faculty member's appointment at a specified time. Notice of nonreappointment will be given by March 15. During the first year of service, the last day of service will be June 30 of the calendar year in which the notice is given. After one or more years of service, the last day of service will be June 30 of the next calendar year.
- H. Probationary Period. The probationary period is the initial period of tenure-track employment during which a faculty member must demonstrate that he/she is capable of performing the required duties of the position. The probationary period lasts from the date of the initial tenure-track appointment to the date of the award of tenure or notice of nonreappointment.
- I. Tenure. Tenure is the commitment of a College to a faculty member for continuous and ongoing faculty appointment that provides protection against involuntary suspension, discharge or termination except for financial exigency or cause as subject to applicable

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definitions and procedures contained within the Faculty Bylaws and Appendices. Tenure ceases upon the faculty member's voluntary termination, retirement or death.

- J. Tenure-Track Position. A tenure-track position is a full-time faculty appointment that includes the eligibility to apply for tenure.

Section 2. Academic Ranks

Appointment to the faculty is a privilege, not a right. The following academic ranks have been established for tenure-track faculty:

Professor
Associate Professor
Assistant Professor

Section 3. Titles of Distinction¹

A. Retired

1. A faculty member who formally retires after continuous and dedicated service to the College and who will not continue to be involved in its education, research, or service programs on an ongoing basis may be eligible for "retired status".
2. A faculty member may request, in writing, through the appropriate Department Chair the addition of a retired designation to the faculty rank held at the time of retirement. Recommendations will be forwarded to the Dean.
3. The Dean will act on the recommendation and, if positive, will notify the faculty member that the designation (Retired) may be added following the faculty title at the time of retirement, e.g., Professor of Anatomy (Retired).

B. Emeritus

1. The title "Emeritus" is a nonsalaried designation of distinction conferred by the Board of Trustees upon a retired faculty member who has given continued, dedicated and distinguished service to the College of Medicine.
2. Emeritus status is awarded to the faculty rank held at the time of retirement, and places the retired faculty member in the nontenure track.
3. Recommendations for the award of Emeritus status may originate with the Department Chair, Dean, or the President.
4. If the President concurs with the recommendation, it will be forwarded to the Board of Trustees for consideration.

¹ Retired or Emeritus are nontenure-track designations that may be made at the time a faculty member retires from a tenure-track position.

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C. Honorary

1. The title “Honorary” is a nonsalaried designation of distinction conferred by the Board of Trustees upon an individual who has contributed significantly to the mission of the College. Honorary titles may also be conferred upon individuals known nationally or internationally who have made significant contributions to his/her discipline.
2. The rank conferred would be preceded by the title “Honorary”.
3. Recommendations for the award of Honorary status may originate with the Departmental Chair, Dean, or the President.
4. If the President concurs with the recommendation, it will be forwarded to the Board of Trustees for consideration.

- D. Utilization of College resources by a faculty member holding a title of distinction will be individually determined by the Department Chair with the concurrence of the Dean and President.

Section 4. Appointments and Promotion

A. Appointments

1. Appointment may be with or without tenure. Appointments with tenure are appointments for which the probationary period has been waived and tenure commences at the time of initial appointment.
2. An appointment is made with the expectation that it will continue until notice is given that it will terminate by either the faculty member or the College of Medicine in accordance with the Institution Faculty Bylaws, College of Medicine Appendices, and other applicable policies and procedures.

- B. Promotion -- Promotion is a decision that is independent of the awarding of tenure except in the case of an Assistant Professor who, when reviewed for and awarded tenure, is simultaneously promoted to Associate Professor. The rank of Professor is awarded in recognition of the faculty member’s outstanding contributions to his/her profession and the College of Medicine.

Section 5. Basic Principles of Tenure

- A. The conferral of tenure is a commitment of the resources of a given College. Tenure assists a respective College in attracting and retaining faculty of high quality. Documented evidence is needed of a faculty member’s professional excellence in teaching, research and scholarly activities, and academic/public professional/clinical service; and demonstrated professional dedication and outstanding ability to substantiate the potential for future contributions justifying the degree of permanence afforded by the award of tenure.

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- B. The tenure policy and review procedures are based on the following:
1. Tenure may be awarded only to a full-time, salaried faculty member with a tenure-track appointment. Any time accrued under nontenure-track appointments will not count toward tenure or any probationary period. Tenure may be awarded at the time of initial appointment or after the successful completion of the probationary period.
 2. Tenure is a privilege not a right.
 3. Tenure shall not be awarded unless, after rigorous review, the faculty member has been found to meet the standards described herein.
 4. If tenure is not awarded in the evaluation year, a faculty member shall be given a terminal notice of nonreappointment.

Section 6. Structure and Function of the Tenure and Promotions Development Committee

A. Purpose

The purpose is to establish an individual mentoring program for a probationary faculty member and to evaluate and provide ongoing recommendations concerning academic and professional development during the probationary period.

B. Composition

1. This ad hoc committee will be composed of at least three tenured faculty of the Institution appointed by the probationary faculty member's Department Chair. It may include faculty from outside the probationary faculty member's department but may not include the faculty member's Department Chair.
2. A separate Tenure and Promotions Development Committee will be appointed for each probationary faculty member.

C. Meetings

1. The Committee will meet at least annually with the probationary faculty member. To the extent that it is feasible, this meeting should occur at a time to allow input for the annual review.
2. The Committee will be chaired by a member selected by the Department Chair.

D. Reports

1. The Committee Chair will provide an annual written report on the academic and professional development of the probationary faculty member to the Department Chair who will review it with the faculty member.

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2. The Department Chair will meet with the faculty member and provide a copy of the annual written report to the faculty member along with his/her evaluation of the faculty member.
3. A summary of these reports will be forwarded by the Department Chair to the Chair of the Tenure and Promotions Committee at the time the faculty member makes application for tenure.

Section 7. Structure and Function of the Tenure and Promotions Committee

A. Standing Committee of Academic Council

The Tenure and Promotions Committee is a standing committee of the Academic Council.

B. Composition and Voting

1. The Tenure and Promotions Committee is comprised of one tenured faculty member from each academic department of the Institution and one community-based faculty member from the College of the candidate.²
2. No more than two of the members will be Associate Professors.
3. A tenured member of the Academic Council shall serve as chair of the committee.
4. A committee member may participate in the discussion but may not vote on a candidate who is in the committee member's department.
5. For consideration for promotion to Professor, Associate Professors may participate in the discussion but may not vote.

C. Responsibilities

1. The Tenure and Promotions Committee reviews and evaluates the credentials of applicants for tenure or promotion.
2. Evaluation. The Tenure and Promotions Committee may:
 - a. interview appropriate individuals and/or;
 - b. after notifying the candidate in writing request additional information from further outside references; and/or
 - c. request any additional information pertinent to the evaluation. The candidate will be notified of any additional information used.

²Procedures for appointment of committee members are specified in Appendix G.

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3. Recommendations. The Tenure and Promotions Committee, after its evaluation, may recommend to award or deny tenure or promotion and forward its recommendation to the Executive Associate Dean.

Section 8. Eligibility for Tenure or Promotion

A. Terminal Degree

The candidate must hold an appropriate terminal degree. Exceptions can be made in particular cases, provided that such exceptions are justified by the candidate's Department Chair and approved by the Dean and President.

B. Tenure

1. Award Must Result From Positive Action

The conferring of tenure is a positive act by the Institution. A faculty member shall not be awarded tenure by default. Any failure in procedural matters shall not be sufficient cause for the conferring of tenure. If the Institution or the College of Medicine makes a procedural error, the error will be corrected, and the procedure will continue without prejudice to the candidate.

2. Probationary Period

Typically, the period of initial appointment begins on July 1 and ends on June 30. In determining eligibility for tenure, initial appointments commencing on or before October 1 will be counted as a full year. Partial years of appointment will not be used unless so requested in writing by the faculty member. Approved leaves of absence will not be counted as part of the probationary period. In extenuating circumstances, at the request of the faculty member and with the concurrence of the Department Chair and the Dean, the President may grant an extension to the faculty member's probationary period.

3. Assistant Professors

The probationary period is generally no more than seven years. A faculty member must give notification of intent to stand for tenure by June 1 of the year specified in the letter of appointment unless otherwise requested and approved in writing. If notification is not given, a terminal tenure-track appointment letter will be issued for an eighth and final year. If tenure is awarded then promotion to Associate Professor is also granted.

4. Associate Professors and Professors

The probationary period is generally no more than five years. A faculty member must give notification of intent to stand for tenure by June 1 of the year specified in the letter of appointment unless otherwise requested and approved in writing. If notification is not given, a terminal tenure-track contract will be issued for a sixth and final year.

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C. Promotion

1. Following the award of tenure, there is no requirement that a faculty member be promoted to a higher rank.
2. Tenure-track faculty must be tenured prior to seeking promotion to Professor.
3. Five years in rank is the minimum time in rank before which a faculty member may be considered for promotion to Professor. The Dean may waive this requirement in the initial letter of appointment or an amendment thereto.

Section 9. Faculty Appointment, Promotion, Tenure

A. Appointment

1. Initial appointment is primarily based upon past performance with an expectation of continued contribution at a level commensurate with the appointment description and rank as described below.
2. Considerations include, but are not limited to:
 - a. possession of an appropriate terminal academic or professional degree;
 - b. expertise in an appropriate academic field and evidence of dedication to continuing advancement of this field of knowledge;
 - c. ability and dedication as an effective teacher;
 - d. creativity and competence in an appropriate field of research and scholarship; and
 - e. ability to assume responsibility for professional services and administration of health and/or academic services.

B. Promotion and Tenure

1. In evaluating the candidate's performance, the weighting of the evaluation areas may vary. Consideration will be given to the mission of the department and the demands of the appropriate discipline. Both quality and quantity of the individual's contribution will be taken into consideration.
2. Promotions are made after contributions commensurate with the higher rank have been achieved. The Committee will consider any specific exceptions or requirements set forth in the faculty member's letter of appointment or any amendments thereto.
3. Standards and documentation for promotion and tenure include, but are not limited to:
 - a. Contributions to the Educational Program of the College
 - i. The Standard

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Teaching is a central mission of the College of Medicine. A faculty member's teaching is reflected by students' achievements in the classroom, laboratory, and clinical arenas. Furthermore, teaching quality is documented by recognition and feedback from students, alumni and peer evaluation. Positive contributions to the learning environment and curriculum may support a faculty member's record of teaching.

ii. Documentation

- (a) Educational activities include, but are not limited to: presentation of lectures, seminars and tutorials; preparation of syllabi, course and examination materials; remediation; academic advising; career guidance; obtaining external funding for educational activities. The extent and effectiveness of educational accomplishments will be evaluated through review of relevant evidence. Evidence may include: student performance on examinations; recognition of excellence in teaching; supervisor, peer and student evaluations.
- (b) The faculty member should demonstrate ability in presenting concepts and information; in teaching problem solving, research and laboratory techniques; developing professional attitudes; evaluating students and conducting remediation. Each faculty member is obligated to present accurate and up-to-date information to the students.

b. Research and Scholarly Accomplishments

i. The Standard

- (a) In accordance with the Institutional Faculty Bylaws, the four (4) categories of scholarship include discovery, integration, application and teaching.
- (b) Creative scholarly activity includes both original research resulting from investigative work or other peer reviewed contributions to the professional and scientific literature. Faculty shall conduct original research and other scholarly activity. The hallmark of creative scholarly activity lies in the peer reviewed "written" word. By having their contributions published, faculty can make a lasting contribution to the body of professional and scientific literature. Written work which is not peer reviewed may support a faculty member's dossier, but by itself is insufficient evidence of excellence in scholarly activity. Similarly, oral presentations may

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support a faculty member's dossier but are insufficient evidence of proficiency or excellence in scholarly activity.

- (c) Original research is studious inquiry or examination, especially critical and exhaustive investigation or experimentation that has as its aim revision of accepted conclusions, interpretations, theories, or laws in the light of newly discovered facts, or the practical applications of such new or revised conclusions, interpretations, theories or laws. Original research is often of an applied nature; therefore, it has potentially immediate usefulness to the profession and health sciences. Research may also be theoretical in nature; both applied and theoretical (basic) research are encouraged. The nature of research disciplines may range widely reflecting the diverse nature of medicine.
- (d) Faculty shall conduct research and other creative scholarly activity that clearly demonstrates high quality and conforms to the highest ethical and legal standards. Quality is stressed over quantity.

ii. Documentation

There must be evidence that the candidate is engaged in creative scholarly activity in areas appropriate to their appointment. Such activities include, but are not limited to:

- (a) Scholarly publications. These include publications in journals, books, chapters, monographs, case reports, literature reviews, annotated bibliographies, abstracts and technical reports.

Publications will be assessed in terms of quality and quantity and the candidate's role in the work. The quality of the publications will be evaluated by criteria such as: whether the publication was refereed; whether the publication was invited; the reputation and circulation of the journal or book or monograph; the scope of the periodical's audience; the number of citations; originality, creativity and impact on the field; unsolicited independent reviews; or solicited outside professional reviews.

- (b) Research support. This includes support generated through grants, contracts and other sources.

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- (c) Scholarly presentations. These include, but are not limited to: lectures, poster presentations or educational displays at professional meetings, colloquia, workshops, seminars and conference presentations.
- (d) Research consultations. These include, but are not limited to, providing consultation in: study design, data analysis, measurement and evaluation.

c. Service Related to the College of Medicine

i. The Standard

Service oriented to the needs of the Department, the College of Medicine, and the Institution are expected for faculty, regardless of rank and academic appointment.

ii. Documentation

- (a) Service activities. Faculty members are expected to be active participants in service activities. Service activities include, but are not limited to:
 - (1) Membership on NEOUCOM/consortium committees, boards, councils, etc.;
 - (2) Professional service activities such as service on research review committees, ad hoc research reviews, editorial board membership, editorship, editorial reviews, etc.;
 - (3) Service to the community on biomedical topics;
 - (4) Service to governmental bodies on biomedical topics.
- (b) Planning, organizing and implementing service projects for the College.
- (c) Service support. This includes support for service activities generated through grants, contracts and other sources.

d. Professional Standing

i. The Standard

Faculty members are expected to maintain suitable professional standing. A terminal degree or equivalent academic accomplishment is ordinarily required for appointment at the rank of assistant professor or higher.

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ii. Documentation

The following are examples of items which contribute to professional standing: degrees held; fellowships and post-doctoral experiences; professional licenses or certificates; honorary degrees; awards; honors; offices held in professional societies; invited membership in honorary societies; membership in professional societies; and testimonials by colleagues.

Section 10. Annual Evaluation

The performance of all tenure-track faculty will be evaluated annually by the Department Chair. The evaluation will provide for constructive feedback to the faculty member.

Section 11. Procedures for Processing Appointments, Promotion and Tenure

A. Appointment

1. The authority for the creation or filling of a tenure-track position resides with the Board of Trustees or its designee.
2. Where appropriate, when a tenure-track position has been authorized, the Department Chair will propose a search committee to the Dean who will appoint the committee.
3. The Search Committee shall forward its recommendation to the Department Chair. The Department Chair will forward it to the Dean.
4. If the Search Committee's recommendation is an appointment with tenure, the Dean shall submit the Search Committee's recommendation to the Tenure and Promotions Committee. The Tenure and Promotion Committee will forward its recommendation to the Dean.
5. Appointments, which have been approved by the Dean, shall be forwarded to the President for transmittal to the Board of Trustees.

B. Tenure or Promotion

1. The candidate's rights include the right to:
 - a. a full, impartial and confidential review of his/her credentials;
 - b. be informed of the Tenure and Promotions Committee's recommendation and to receive a copy of that report; and
 - c. appeal to the Dean a recommendation to deny promotion or tenure.
2. Notification for Eligibility to Stand for Tenure

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a. Notification

The Department Chair will confer in May with faculty who may or must stand for tenure consideration in the calendar year.

b. Intent to Stand for Tenure or Promotion

- (1) The process of review for tenure will begin on June 1 of the year specified in the faculty member's appointment letter. Modification of this date requires the written approval of the Dean.
- (2) By June 1, a candidate for tenure or promotion shall notify the Department Chair of the intent to stand for tenure or promotion.

3. Process of Evaluation for Tenure or Promotion

a. Independent External Evaluators

- (1) By June 1, the candidate must submit a list of suggested external evaluators to the Department Chair.
- (2) By June 15, a list of five or more independent external evaluators will be identified by the candidate's Department Chair and transmitted by the Chair to the candidate. This list may or may not include evaluators from the candidate's list.
- (3) Candidates have the right to review the list of evaluators and provide reasons in writing within five working days why any of the proposed individuals should not be contacted.
- (4) The Department Chair, in consultation with the Executive Associate Dean, will determine whether the challenge will be upheld and the evaluator removed from the list.
- (5) If an outside evaluator is removed from the list, another may be added and the same right to challenge will apply.
- (6) By June 30, this process shall be completed.

b. Preparation of Materials for Independent External Evaluators

- (1) By June 1, the candidate will submit to the Department Chair seven copies of his/her curriculum vitae and seven copies of up to five sample publications, which the candidate deems to be significant and representative of his/her work, for external review.

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- (2) The Department Chair will prepare the packages containing the candidate's curriculum vitae, sample publications, and a cover letter requesting an evaluation of the candidate's scholarly achievements.
- (3) Each candidate will be asked to verify that the packages are accurate and complete before they are sent for review. Each candidate will be asked to sign a document waiving access to these evaluations.
- (5) By July 1, the Department Chair will mail all materials to the independent external evaluators.

c. Submission of Completed Dossier

- (1) By September 1, the candidate shall submit 10 complete and verified copies of his/her dossier to his/her Department Chair.
- (2) By October 1, the Department Chair will submit to the Tenure and Promotions Committee Chair a letter of evaluation, nine copies of the candidate's dossier and nine copies of the curriculum vitae submitted to the external evaluators.

d. Tenure and Promotions Committee Recommendation

- (1) By November 1, the Tenure and Promotions Committee Chair will forward in writing the Committee's recommendation and reasons therefore, along with a record of the vote, to the Executive Associate Dean.
- (2) By November 15, the Executive Associate Dean will notify the candidate, the Department Chair and the Dean in writing of the following and will provide a copy of the report to each:
 - i. the Tenure and Promotions Committee's recommendation,
 - ii. his/her own recommendation and the reasons therefore; and
 - iii. the right to appeal a negative recommendation to the Dean.

e. Appeal by the Candidate

- (1) By December 1, the candidate must notify the Dean in writing of the intent to appeal or the right is waived. The appeal will be scheduled in December.
- (2) The Dean may hear the appeal him/herself or may appoint a three member Appeal Committee of tenured faculty to consider

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the matter. If appointed, the Committee will elect its own Chair and will decide by majority vote to recommend upholding of the recommendation of the Tenure and Promotions Committee.

- (3) The review should be concluded within 30 days from the date of assignment.

f. Recommendation by the Dean

- (1) The Dean shall review the recommendation from the Tenure and Promotions Committee, the Department Chair, the Executive Associate Dean and the Appeal Committee, if appropriate.
- (2) By February 1, the Dean will notify the candidate and the Department Chair in writing of his/her recommendation.
- (4) By February 1, the Dean will transmit all reports with his/her recommendation to the President.

g. Recommendation by the President

- (1) By February 15, the President will make the final decision and will forward positive recommendations for tenure or promotion to the Board of Trustees at its next meeting.
- (2) Following Board of Trustees approval, the President will announce to the Academic Council those candidates who have been approved for the award of tenure or promotion.