

GUIDELINES ON APPOINTMENT, PROMOTION, AND TENURE

EMORY UNIVERSITY SCHOOL OF MEDICINE

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GUIDELINES FOR APPOINTMENT, PROMOTION, AND TENURE

EMORY UNIVERSITY SCHOOL OF MEDICINE

IMPLEMENTATION

These *Guidelines for Appointment, Promotion, and Tenure* are fully effective April 2001 and will apply for all faculty appointments, promotions, and conferral of tenure in the School of Medicine, with the following exception. The criteria for promotion set forth in Articles V. and VI. in the April 1996 *Guidelines for Appointment, Promotion, and Tenure* will apply for Assistant Professors on the tenure track in the School of Medicine whose first academic year was 1995-1996, 1996-1997, or 1997-1998 and to all Assistant Professors on the clinical and research tracks whose first academic year was 1997-1998 or prior, and who will be proposed for promotion to Associate Professor in the 2000-2001, 2001-2002, or 2002-2003 academic year.

GENERAL POLICY STATEMENTS

I. GENERAL POLICY STATEMENTS

Recommendation and review for faculty appointment or promotion in the School of Medicine or conferring of tenure by Emory University (University) are based on qualifications without regard to race, color, religion, sex, sexual orientation, age, national origin, disability, or veteran status, except where sex or religion are *bona fide* occupational requirements, or where a specific disability constitutes a *bona fide* occupational disqualification.

All policies, procedures, and actions regarding faculty appointment, promotion or conferring of tenure, and termination shall conform to the *Bylaws of the University* and the *Statement of Principles Governing Faculty Relationships*.

A recommendation for appointment or promotion or other change of status may or may not be approved by the Dean, depending upon the needs of the School of Medicine or the University, or upon fiscal considerations.

Individuals appointed to the faculty of the School of Medicine are subject to all Departmental, School, and University policies, guidelines, and procedures as they exist at the time of appointment, as they may be changed during the period of the faculty appointment, and as new policies, guidelines, and procedures are made; and further to any local, state, and federal laws and regulations that are applicable to their activities at Emory.

Each Department of the School of Medicine shall develop standard Departmental guidelines for appointments and promotions, in accordance with those of the University and the School of Medicine. Individual Departments may adopt additional qualifying terms to those described in these *Guidelines* but must comply with this and University policy. The Departmental guidelines shall include any specific criteria for consideration for appointment/promotion at the Department

level. A copy of the Departmental guidelines shall be submitted to the Dean for approval. In the alternative, a Department may adopt the appointment and promotion guidelines of the School of Medicine and so inform the Dean. Faculty are encouraged to review the guidelines established for their individual Departments.

FACULTY RANKS

II. OVERVIEW OF LIMITED AND CONTINUOUS APPOINTMENTS

A. Limited and continuous appointments

Limited (non-continuous; non-tenured) appointments on any track are those that are terminated at the close of a period of time specified in writing to the appointee (usually one year for full-time faculty) and shall be deemed to have been renewed annually, in accordance with the *Statement of Principles Governing Faculty Relationships*, unless written notice of non-renewal is provided to the faculty member in accordance with the *Statement* or unless the letter of appointment to the School of Medicine faculty specifies a terminal employment period of one year or less.

Continuous (tenured) appointments are automatically renewed annually, except as described in the *Statement of Principles Governing Faculty Relationships*.

B. Faculty benefits for limited and continuous appointments

The fringe benefits, courtesy scholarships, and other faculty privileges are the same for limited and continuous appointments. Contributions to the retirement plan are immediately vested and owned by the faculty member from the date of the contribution, but there is a one-year waiting period from the date of hire and an age 26 requirement before the faculty member can receive the University's contribution to the retirement plan. Full-time faculty at the level of Assistant Professor or above at the Atlanta VA Medical Center, although they receive compensation and fringe benefits from the U.S. Veterans Administration, are eligible to receive courtesy scholarships for dependent children and certain campus privileges in accordance with University policy.

III. REGULAR FACULTY RANKS AND TRACKS

A. Tenure track ranks

The following ranks are available for appointment or promotion of full-time faculty on the tenure track:

1. **Professor.** The rank of Professor is a continuous appointment.
2. **Associate Professor.** The rank of Associate Professor is usually a continuous (tenured) appointment. However, a limited appointment to the rank of Associate Professor may be made under exceptional circumstances for a maximum period of three years, during which a recommendation for continuous appointment must be approved or the appointment changed to clinical or research track, providing the individual who holds such limited appointment is so informed in writing.
3. **Assistant Professor.** The rank of Assistant Professor is a limited, non-continuous

appointment.

4. **Instructor.** The rank of Instructor is a limited, non-continuous appointment.

B. **Clinical and research track ranks**

The following ranks are available for appointment or promotion of full-time faculty on the clinical and research tracks. All are limited appointments.

1. **Professor**
2. **Associate Professor**
3. **Assistant Professor**
4. **Instructor.** This rank is available on all tracks.

In the Primary Care Section of The Emory Clinic, Inc., the rank of Instructor (CT) shall be awarded to physician faculty members recruited through clinical Departments for membership, regardless of the Department in which their primary faculty appointments lie. Any of these physician faculty members who will be or are sufficiently engaged in the academic missions of the School of Medicine may be appointed at or promoted to a higher rank on a case-by-case basis.

5. **Associate and Senior Associate.** The Associate and Senior Associate ranks may be used by basic science and clinical Departments for junior clinical and research faculty who have attained a degree at the doctoral level but whose credentials or area of service do not qualify them for appointment at a higher rank. Chairs may request a faculty appointment for an individual who has not earned a doctoral degree but who has made sufficient academic contributions at Emory, and the Dean of the School of Medicine may grant such requests on a rare, exceptional, and case-by-case basis.

The Associate and Senior Associate ranks may be used in the Allied Health programs as follows:

a. **Associate**

This rank is used for individuals in the Allied Health programs who have at least Master's level credentials in Allied Health or the professional degree equivalent and who have completed professional training. Usually such individuals will have established skills in a specified area in Allied Health.

b. **Senior Associate**

This rank is used for individuals in the Allied Health programs who have held an appointment at the Associate level for at least two years at Emory and merit promotion; or who have acquired three years or more experience elsewhere beyond the Master's degree level in the scientific or professional area of training in Allied Health. Individuals promoted or appointed to this rank should have documented evidence of expertise in teaching, research techniques, or professional skills.

Appointment or promotion beyond the level of Instructor in the Allied Health programs usually requires a doctoral degree. However, the Chair of a Department in which an Allied Health program is located may request promotion to the level of Assistant Professor, clinical track, for an individual who has a master's level degree and whose academic accomplishments at Emory are of sufficient merit to balance the lack of a doctoral-level degree, and the Dean of the School of Medicine may

grant the request on an exceptional, case-by-case basis. Rarely, the Dean may also consider promotion to the level of Associate Professor, clinical track, on the recommendation of the Faculty Committee on Appointments and Promotions and the Council of Chairs and with particular and strong justification. Promotion to Professor will require a doctoral-level degree.

C. Clinical and research track designations

The clinical track (CT) and research track (RT) designations after a given rank are intended for internal Department files, University personnel actions, medical school faculty listings, and official University rosters. The designations (CT & RT) are not required in other circumstances when faculty rank may be designated.

1. Clinical track (CT)

The faculty ranks should be used mainly by clinical Departments and qualified as clinical track by the parenthetical designation (CT). Under special circumstances, these ranks may be used by basic science Departments.

2. Research track (RT)

The faculty ranks should be used by basic science and clinical Departments and qualified as research track by the parenthetical designation (RT).

D. Summary: Regular faculty titles

The six levels of faculty rank in the School of Medicine, including sixteen titles that indicate the level of appointment and the tenure, clinical, or research track, are shown in the following table:

<u>Tenure Track</u>	<u>Clinical & Research Tracks</u>
Professor	Professor (CT) or (RT)
Associate Professor	Associate Professor (CT) or (RT)
Assistant Professor	Assistant Professor (CT) or (RT)
Instructor	Instructor (CT) or (RT)
	Senior Associate (CT) or (RT)
	Associate (CT) or (RT)

E. Changing tracks

Ordinarily faculty will remain on the track to which they are initially appointed. However, rare and special circumstances may justify the transfer of a faculty appointment from one track to another.

1. Clinical or research track to tenure track

In all cases in which faculty appointments are transferred to the tenure track from the clinical or research track, the faculty member must attain continuous appointment within a seven-year period on the tenure track or the appointment will be terminated, in accordance with the *Statement of Principles Governing Faculty Relationships*. In lieu of termination, in exceptional circumstances and at the discretion of the Department Chair and Dean of the School of Medicine, the faculty member's appointment may be changed back to the clinical or research track.

a. Associate and Senior Associate, research or clinical track to tenure track

Faculty who are appointed at the Associate or Senior Associate level on the research or clinical track may later be promoted to Instructor or Assistant Professor on the tenure track, with the approval of the Dean of the School of Medicine. In such cases, the tenure clock will begin September 1 on or after the transfer to the tenure track. The Department Chair will submit a letter of request to the Dean with appropriate documentation, including a written statement from the candidate that he/she agrees with the transfer.

b. Instructors and Assistant Professors, research or clinical track to tenure track

A request from a Chair for transfer of a faculty appointment at the Instructor or Assistant Professor level from the clinical or research track to the tenure track must be particularly well-justified in a letter to the Dean, and will be for the faculty member who has demonstrated the ability to satisfy the criteria for the tenure track, supported by documented evidence and a written statement from the candidate that he/she agrees with the transfer. When faculty appointments at the Instructor or Assistant Professor level are transferred to the tenure track, time in probationary status on the tenure track will be determined on a case-by-case basis.

c. Associate Professor and Professor, research or clinical track to tenure track

The academic teaching, scholarship, and service contributions of a senior faculty member whose appointment has always been on the research or clinical track may be of such quality and quantity as to satisfy the criteria for the grant of tenure. The Department Chair's proposal for the grant of tenure will be considered in accordance with the usual procedures at the Departmental, School, and University levels. The Department Chair's letter of request to the Dean will provide the justification for the grant of tenure and will be supported by documented evidence.

2. Tenure track to clinical or research track

At the discretion of the Chair, a faculty appointment may be transferred from the tenure track to the clinical or research track with the written permission of the faculty member and the approval of the Dean. The Chair may request such transfer with justification in a letter to the Dean of the School of Medicine co-signed by the faculty member. The request may be part of a nomination for promotion on the new track. Such transfers off the tenure track usually will be made for faculty whose accomplishments and career goals are better suited to the clinical or research track, and their appointments will not be transferred back to the tenure track.

If a faculty member on the tenure track must assume exceptionally heavy clinical or educational duties that will significantly detract from the time that is available for scholarly activity, the Chair, with the written concurrence of the faculty member, may request of the Dean an extension of time in academic probationary rank. The request will be treated in accordance with University policy, as specified herein under "Extension of Time in Academic Rank as Assistant Professor."

F. Status of chief residents and fellows at Emory University affiliated hospitals

Faculty appointments are not available for chief residents participating in the Emory

University Affiliated Hospitals Training Program or for fellows in any accredited and certified training program.

IV. **OTHER TYPES OF FACULTY APPOINTMENT**

A. **Volunteer faculty appointments**

All volunteer faculty appointments in the School of Medicine are limited, and their conditions should be stated in writing at the time of their initiation. These appointments automatically terminate two years after the date of appointment unless renewed in writing by the Department Chair. All faculty who hold volunteer faculty appointments in the School of Medicine are subject to and shall comply with the policies and procedures of the Department, School of Medicine, and University, and further to any local, state, and federal laws and regulations that are applicable to their activities at Emory.

1. **Clinical (volunteer) faculty in the School of Medicine**

Faculty of the School of Medicine whose academic ranks contain the prefix "Clinical" serve in a volunteer capacity without financial compensation. Appointments to the ranks of Clinical Instructor through Clinical Professor should be reserved for physicians from outside Emory who have completed their graduate medical education. The ranks of Clinical Associate and Clinical Senior Associate may be used by those Departments in which the Allied Health programs are located for Allied Health professionals from outside Emory who have attained at least master's level degrees. In all cases, clinical faculty are expected to contribute actively to the educational, research, and/or patient care programs of the School of Medicine. Ordinarily this title is used by clinical Departments.

Clinical (voluntary) faculty who also hold faculty appointments at other academic institutions must have the approval of their home institutions as well as the Emory Department Chair and Dean of the School of Medicine to participate in research, submit research grants, or be listed as investigators on research grants at Emory. Research activities may require special arrangements such as contracts and other agreements.

Clinical (voluntary) faculty physicians may use their Emory title on their medical business cards and professional medical resumes, but they may not use their Emory title or Emory's name or trademarks in advertizing their private medical practice or in other commercial activity. Use of the Emory title on professional publications, such as professional journal articles, requires the approval and is at the discretion of the Department Chair.

2. **Adjunct (volunteer) faculty in the School of Medicine**

Faculty of the School of Medicine whose academic ranks contain the prefix "Adjunct" serve in a volunteer capacity without financial compensation. Appointments to the ranks of Adjunct Instructor through Adjunct Professor should be reserved for individuals from outside Emory who have completed their graduate education and who are expected to contribute actively to the educational and/or research programs of the School of Medicine. Ordinarily this title is used by basic science Departments.

Faculty who hold primary faculty appointments at other academic institutions may hold voluntary, non-compensated (adjunct, honorary) appointments in the School of Medicine but must have the approval of their home institutions as well as the Emory Department Chair and Dean of the School of Medicine to participate in research, submit research grants, or be listed as investigators on research grants at Emory. Research activities may require special arrangements such as contracts and other agreements.

3. **Summary of volunteer faculty titles in the School of Medicine**

CLINICAL FACULTY

ADJUNCT FACULTY

Clinical Associate*

Clinical Senior Associate*

Clinical Instructor

Clinical Assistant Professor

Clinical Associate Professor

Clinical Professor

Adjunct Instructor

Adjunct Assistant Professor

Adjunct Associate Professor

Adjunct Professor

(* for Allied Health clinical faculty and others as appropriate)

4. **Clinical and adjunct (volunteer) appointments of School of Medicine faculty at other institutions**

The primary obligation, responsibility, and effort of faculty in the School of Medicine is in support of the teaching, research, and clinical programs of the School and its affiliates.

Faculty in the School of Medicine will be allowed to hold voluntary, non-compensated (adjunct, clinical, honorary) faculty appointments at other academic institutions with the prior express approval of their Department Chairs and the Dean of the School of Medicine, which will be granted only as long as the faculty member's external activities do not interfere with his or her obligations to or breach the policies of the University or School of Medicine and are beneficial to the School. Such approvals may allow School of Medicine faculty to teach, participate in clinical or other professional service activities, or participate in research at other institutions. Volunteer faculty from Emory may not submit research proposals or be listed as compensated investigators on research grants at other institutions or entities. Clinical activities at other institutions may not include medical services billed at the other institution. Voluntary activities, if approved, may not exceed 20% of the faculty member's work effort, in combination with other similar activities and other forms of activities such as external consulting, without the prior express approval of the Department Chair and Dean. Any written documents that faculty are asked to sign in such arrangements will be approved by the Chair and Dean's office prior to execution. (In accordance with other University and School of Medicine policies on consulting, conflict of interest, and research compliance.)

B. **Joint and secondary appointments**

Joint and secondary faculty appointments in the School of Medicine are for compensated Emory faculty. All are limited, and their conditions should be stated in writing at the time of

their initiation. Such appointments usually will require some effort from the faculty member in the second Department. They are not delineated by track. All faculty who hold joint and secondary faculty appointments in the School of Medicine are subject to and shall comply with the policies and procedures of the Department, School of Medicine, and University, and further to any local, state, and federal laws and regulations that are applicable to their activities at Emory.

1. **Joint and secondary appointments of Emory faculty in the School of Medicine**

Joint (shared compensation) and secondary (without compensation in second Department) appointments in the School are usually limited to faculty who hold primary faculty appointments in the schools, divisions, centers, and School of Medicine Departments within Emory University. Initial joint and secondary appointments may be made at the same rank as or at one faculty rank lower than the rank held in the Department of primary appointment, at the discretion of the Chairs of the two Departments. Joint and secondary appointments require the approval of the Departmental Chairs and the Dean of the School of Medicine.

2. **Joint and secondary appointments of School of Medicine faculty at other institutions**

Faculty in the School of Medicine shall not hold primary faculty appointments at other institutions. Faculty usually will not hold compensated joint and secondary faculty appointments at other institutions, except in the joint Emory School of Medicine - Georgia Institute of Technology Department of Biomedical Engineering. Exceptions may be made on a case-by-case basis to allow faculty to teach, participate in clinical or other professional service activities, or participate in research at other institutions. Such exceptions will require the prior approval of the Department Chair and the Dean of the School of Medicine and will be allowed only if the arrangement is beneficial to the School of Medicine and if the faculty member's activities do not interfere with his or her obligations to or breach the policies of the University or School of Medicine. In such cases, contractual agreements between Emory and the other institution will be required. Faculty may not submit research proposals or be listed as compensated investigators on research grants at other institutions or external entities; contractual arrangements between Emory and the other institution may be feasible to accommodate special research needs and would be required. Clinical activities at other institutions may not include medical services billed at the other institution. (In accordance with other University, School of Medicine, and Emory Clinic policies on consulting, conflict of interest, and research compliance.)

3. **Joint and secondary faculty appointments in the School of Medicine of faculty at other institutions**

Faculty who hold primary appointments at other medical schools or universities usually are not eligible for compensated joint or secondary faculty appointments in the School of Medicine. Exceptions may be made only if the arrangement is beneficial to the School of Medicine and if the faculty member's activities do not interfere with his or her obligations to or breach the policies of the University or School of Medicine or of the faculty

member's home institution. Such exceptions shall require approval by the Department Chair and the Dean of the School of Medicine on a case-by-case basis. Such appointments must also have the express approval of their home institutions. Contractual agreements between Emory and the other institution will be required. Such contractual agreements must include specific terms for any faculty who wish to submit research proposals, be listed as compensated investigators on research grants, or provide compensated medical services at Emory.

C. Special titles in the School of Medicine

Additional appointments to the faculty ranks with or without compensation and with special titles are authorized under Articles 5 & 6 of the *Statement of Principles Governing Faculty Relationships*. They are made to satisfy special needs and/or conditions. Such appointments are limited and are governed by the written conditions of each individual appointment. Examples are acting, temporary, visiting, part-time, and lecturer.

D. Emeritus appointments

1. Emeritus status for regular faculty

A retired member of the faculty who has reached age 55 and who has served as a member of the Emory faculty for at least ten continuous years and has a total age and years of continuous service of at least seventy shall be entitled to the title "Professor Emeritus." In exceptional circumstances, such title may be conferred by the Board of Trustees upon any retired member of the faculty upon recommendation of the President, who shall have conferred with the appropriate Dean and Executive Vice President. (*Statement of Principles Governing Faculty Relationships.*)

2. Emeritus status for clinical and adjunct faculty

Volunteer faculty who have fifteen years of service to Emory University School of Medicine and who have attained the rank of Associate Professor or Professor will be eligible for Emeritus status at the time of their retirement. Appropriate titles will be "Clinical Professor Emeritus" and "Adjunct Professor Emeritus". All such titles must be recommended by the Department Chair to the Dean of the School of Medicine for approval. (*Statement of Principles Governing Faculty Relationships.*)

CRITERIA FOR APPOINTMENT AND PROMOTION

V. CRITERIA FOR JUNIOR FACULTY APPOINTMENTS AND PROMOTIONS ON THE TENURE, CLINICAL, OR RESEARCH TRACK

A. Overview

The Instructor and Assistant Professor ranks on the tenure, clinical, or research track are limited. Appointments and promotions on the clinical and research tracks at the Instructor and Assistant Professor level are not bound by the Emory University requirement for the tenure track that promotion to Associate Professor must be accomplished within seven years. All faculty members appointed to the School of Medicine faculty who provide clinical services

shall comply with the School of Medicine Policy on Board Certification.

B. Requirements for appointment and promotion to Instructor

1. Appointment and promotion to the rank of Instructor on the tenure, clinical, or research track may be used for a candidate who:
 - a. Has received his/her professional degree at the doctoral level and has completed basic residency training or post-doctoral training; and
 - b. Is initiating his/her academic career after completion of professional/academic training.
2. The candidate should exhibit potential to be outstanding in at least one of the following areas:
 - a. Knowledge of the appropriate scientific method, analysis, and evaluation of results of a biomedical research problem;
 - b. Ability to provide quality patient care with a humanistic concern for the patient in his/her chosen specialty; or
 - c. Capability in designing, organizing, and presenting basic science or clinical material in the educational milieu.
3. A candidate who is appointed through any Department primarily for providing clinical services in the Primary Care Section of The Emory Clinic, Inc. will usually hold the rank of Instructor (CT).
4. The candidate whose commitment to a career in academic medicine is not clearly demonstrated may be appointed to the rank of Instructor (RT) or Instructor (CT), as appropriate to his/her interests, training, and qualifications.

C. Requirements for appointment and promotion to Assistant Professor

Appointments and promotions to the rank of Assistant Professor on the tenure, clinical, or research track may be used for individuals who demonstrate some experience in research, teaching, or high-quality patient care. Candidates should exhibit the potential to satisfy the requirements for promotion to Associate Professor on the respective track including:

- The potential for independent research activity;
- Evidence of professional skill and specialty certification; and/or
- The potential for well-organized, effective methods of teaching.

Individuals whose commitment to a career in academic medicine is not clearly demonstrated may be appointed to the rank of Assistant Professor (RT) or Assistant Professor (CT), as appropriate to their interests, training, and qualifications.

VI. SCHOLARSHIP, TEACHING, AND SERVICE - BROAD DEFINITIONS

A. Scholarship

All School of Medicine candidates for appointment or promotion to Associate Professor or Professor shall have demonstrated some accomplishment in scholarly endeavors, which in

most instances is synonymous with accretion of knowledge using laboratory, clinical, or other research tools. Candidates who are proposed as outstanding in scholarship shall have demonstrated significant scholarly accomplishment that includes national and/or international recognition. Scholarship is the development and dissemination of new knowledge or of new insights into existing knowledge; or competent mastery of one or more of the academic disciplines resulting from continued systematic study. Scholarly activity also may consist of innovative conceptualizations or novel solutions to health problems that have received national recognition; or of research on and application of new concepts in biomedical education. Regardless of its form, the candidate's scholarship must provide promise of continued creativity. Publications in refereed journals and research funding awards are the primary evidence of scholarship.

B. Teaching

Candidates who are proposed for appointment or promotion in part on their teaching achievements and potential shall have demonstrated skill in and dedication to teaching and a capacity and a desire to maintain teaching effectiveness throughout their careers. Further, candidates shall show capacity for continuing growth as a model of professional conduct for students, trainees, colleagues, and/or patients. The quality of a candidate's teaching shall be demonstrated in a teaching portfolio that describes and documents in detail the educational activities of the faculty member. Awards and evaluations received by the candidate for contributions in biomedical education should be included. The candidate's area of scholarship may be focused on new concepts and applications in biomedical education. Candidates who are proposed as outstanding in teaching shall have a national, as well as local, reputation in medical education, as demonstrated, for example, by a presence in educational forums and committees of professional organizations.

C. Service

Candidates who are proposed for appointment or promotion in part on their accomplishments and potential in professional service shall have reached an appropriate level of development to serve as academic or professional role models for medical, allied health, and/or graduate students or house officers, and for junior faculty. Candidates proposed as outstanding in service shall have demonstrated a national reputation for their contributions.

Participation in the committees and governance of regional and national scientific and clinical societies; participation in the organization of symposia, seminars, and continuing education programs; and lectureships on professional management are evidence of national recognition for professional service. Invitations from other institutions or professional societies may also be important contributions to the reputation of the School of Medicine, though a faculty member is expected to exercise sound judgment in balancing the performance of duties at Emory against the acceptance of invitations elsewhere.

The hallmark of clinical professional service is the provision of high-quality patient care, which is an important contribution to the national reputation of the School of Medicine. Patient care shall be judged against standards of quality and excellence in clinical practice appropriate for an academic center with high ideals for the acquisition of new knowledge.

Provision of patient care of superior quality within the chosen discipline is expected. Evidence of professional skill, medical knowledge, humanistic concern for the patient, specialty board certification, and the innovative application of techniques and knowledge is required. The quality of patient care delivered by a faculty member shall be documented by peers of the same discipline and by referral of patients with difficult medical and surgical problems from the local community and from national and international professionals.

Administrative contributions at Emory may also be considered, but generally these are recognized by appropriate titles rather than by academic promotion or appointment.

VI. CRITERIA FOR CONTINUOUS APPOINTMENTS AND PROMOTIONS

A. Overview

Continuous appointments and promotions in the School of Medicine are based upon Departmental needs and the continuing achievements of the individual in the areas of scholarship, teaching, and professional service.

The University policy that non-tenured faculty at junior ranks on the tenure track attain continuous appointment within a seven-year period is applicable to the School of Medicine. Usually the probationary pre-tenure period begins on September 1 or on the first September 1 after the date of appointment to the tenure track. [See the *Statement of Principles Governing Faculty Relationships*.] Failure to attain tenure within the specified period will result in non-renewal of the appointment or transfer to the clinical or research track, at the discretion of the Department Chair and the Dean of the School of Medicine.

All faculty members appointed to the School of Medicine faculty who provide clinical services shall comply with the School of Medicine Policy on Board Certification.

B. Requirements for continuous appointments and promotions to Associate Professor and Professor (with tenure)

The tenure track is a series of progressive faculty ranks for faculty who vigorously participate in the full range of the activities of the academy throughout their careers; i.e., scholarship, teaching, and professional service.

Candidates for appointment or promotion to the rank of **Associate Professor with tenure** shall be at least good in scholarship. If outstanding in scholarship, the candidate shall be at least good in professional service and teaching. If excellent in scholarship, the candidate shall be outstanding in service or teaching and at least good in the other. If good in scholarship, the candidate shall be outstanding in teaching and at least excellent in service. Ordinarily the candidate to whom tenure is granted will have and maintain a substantial record of peer-reviewed funding and/or publications. To be outstanding in any area, the candidate shall demonstrate evidence of a national reputation for his or her significant contributions. Candidates who are awarded tenure shall maintain tenurable standards of performance throughout their careers. The minimum requirements for appointment/promotion are summarized as follows:

Scholarship - outstanding
Teaching - good
Service - good

Scholarship - excellent
Teaching - outstanding
Service - good

Scholarship - excellent
Teaching - good
Service - outstanding

Scholarship - good
Teaching - outstanding
Service - excellent

For appointment or promotion to the rank of **Professor with tenure**, the candidate shall demonstrate continuing outstanding performance in scholarship, teaching, or service; a higher level of achievement in one or more of the other areas than a candidate for the rank of Associate Professor; and substantial achievements since the promotion to Associate Professor.

C. **General discussion of criteria for continuous appointments and promotions**

Scholarship, teaching, and professional service are requisites for promotion or appointment with tenure. The balance among accomplishments within each criterion may vary considerably from one candidate to another, but achievements in each, in accordance with the requirements above, must be present before tenure is granted.

Professional service activities by a candidate should be weighed into any decision regarding tenure, but such activities in the absence of at least good achievement in scholarship are not an adequate basis for tenure. It is not necessary that a candidate achieve each and every example listed below under each criterion.

1. **Scholarship**

Continuous faculty are expected to maintain scholarship at least at the level required for tenure throughout their careers.

Examples of scholarship

- a. Originality, independence, leadership, and continuing productivity in scholarly activity.
- b. Recognizable objectives or an underlying theme of the scholarly program.
- c. Publication of research reports in leading refereed journals, with consideration of quality as well as quantity.
- d. Invitations to present research results at prestigious national meetings.
- e. Publications demonstrating innovative conceptualizations or novel solutions to biomedical and health problems.
- f. Publications of research results in innovative or novel educational approaches.
- g. Authorship of important review articles, chapters, and/or books.
- h. Continuous success in obtaining extramural research support.

2. **Teaching**

Continuous faculty are expected to maintain performance in teaching at least at the level required for tenure throughout their careers.

Examples of teaching

- a. Preparation and presentation of material in a well-organized, current, and stimulating fashion as viewed by senior faculty of the School and Department; medical, allied health, and graduate students and/or house staff; and possibly by peers in national professional organizations.
- b. Leadership in design, organization, and/or presentation of a major course, clinical program, or subdivision thereof.
- c. Ability to evaluate and counsel medical, allied health, and graduate students or house staff.
- d. Appropriate participation in doctoral, graduate, allied health, medical, or continuing medical educational activities.
- e. Continuous positive evaluations by students or residents.
- f. Successful mentoring and project direction for college students.
- g. Preparation and presentation of workshops, lectures, and symposia on education topics at national meetings.
- h. Outstanding performance as an academic role model and mentor for medical, allied health, and graduate students and house staff.
- i. Preparation of laboratory manuals, textbooks, electronic educational programs.
- j. Successful mentoring of other faculty members.

3. Professional service

Professional service contributions by a candidate shall be weighed into any decision regarding tenure.

Examples of professional service

In Basic Science Departments:

- a. Performance as an outstanding academic role model and mentor for medical, graduate, and other students.
- b. Membership and participation in leading national scientific societies of the candidate's field.
- c. Participation in scientific committees advisory to government or foundations.
- d. Participation in editorial review boards of scientific publications.
- e. Participation in the committees of the faculty member's Department, the School of Medicine, and/or the University.
- f. Important contributions as a Departmental member and faculty member in the operation, development, and improvement of the Department and/or School of Medicine.

In Clinical Departments:

- a. Provision of high-quality patient care in the chosen specialty of the candidate.
- b. Performance as an outstanding professional role model for medical, allied health, and graduate students and house staff.
- c. Additional specialty board certification.
- d. Membership and participation in leading national professional societies of the faculty member's field.
- e. Participation in scientific committees advisory to government and foundations.

- f. Participation in editorial review boards of scientific publications.
- g. Participation in local professional societies.
- h. Participation in the committees of the faculty member's Department, the School of Medicine, and/or the University.
- i. Important contributions as a Departmental member and faculty member in the operation, development, and improvement of the Department and/or the School of Medicine.

VIII. **CRITERIA FOR SENIOR FACULTY APPOINTMENTS AND PROMOTIONS ON THE CLINICAL AND RESEARCH TRACKS**

A. **Overview**

Appointments and promotions on the clinical and research tracks are based upon Departmental needs and the continuing achievements of the candidate within these criteria. Such appointments and promotions are limited and are not bound by the Emory University requirement that promotion must be accomplished within seven years. All faculty members appointed to the School of Medicine faculty who provide clinical services shall comply with the School of Medicine Policy on Board Certification.

B. **Requirements for appointment or promotion to Associate Professor and Professor, CT and RT**

The clinical track (CT) and research track (RT) are each a series of progressive faculty ranks for the full-time faculty member who is a skilled practitioner and teacher or skilled investigator and who spends the majority of his or her effort in clinical professional service and teaching or scientific investigation, respectively, and also participates in the other activities of the academy.

Candidates for appointment or promotion to the rank of **Associate Professor, RT** shall be **outstanding in scholarship** and shall maintain this standard throughout their careers. Candidates will show evidence of an outstanding record of peer-reviewed funding and publications. In some Departments, research track faculty are expected to participate in the teaching programs and/or in service. For these candidates, accomplishments in teaching and /or service will also be considered in a promotion decision, and the faculty member shall be at least good in one or both of these areas.

For appointment or promotion to the rank of **Professor, RT**, the candidate shall demonstrate continuing outstanding performance in scholarship and substantial achievements since the promotion to Associate Professor. Those candidates who are also expected to participate in teaching or service will demonstrate a higher level of achievement in one or more of these areas than a candidate for the rank of Associate Professor.

Candidates for appointment or promotion to the rank of **Associate Professor, CT** shall be **outstanding in clinical professional service or teaching** and at least good in scholarship and the other category and shall maintain this standard throughout their careers.

For appointment or promotion to the rank of **Professor, CT**, the candidate shall demonstrate continuing outstanding performance in service or teaching; a higher level of achievement in one or more of the other areas than a candidate for the rank of Associate Professor; and substantial achievements since the promotion to Associate Professor.

C. General discussion of criteria for appointments and promotions as Associate Professor and Professor (CT, RT)

Scholarship, teaching, and professional service are requisites for promotion or appointment as Associate Professor and Professor on the clinical track. Scholarship is a requisite for promotion or appointment as Associate Professor and Professor on the research track, and teaching and professional service may be required and considered. The balance among accomplishments within each criterion below may vary considerably from one candidate to another, but achievements in accordance with the requirements above must be present before appointment or promotion is granted. It is not necessary that a candidate achieve each and every example under these criteria.

1. Associate Professor and Professor (CT)

To qualify for appointment or promotion to Associate Professor or Professor on the **clinical track (CT)**, the greater emphasis will be placed on teaching or professional service, although accomplishments in scholarly activity and the scholarly approach to medical practice and education are expected of all faculty in senior ranks on the clinical track.

a. Scholarship

Faculty are expected to maintain scholarship at least at the level required for appointment or promotion throughout their careers.

Examples of scholarship

- (1) Demonstration of a scientific, scholarly approach to a major field of clinical or basic science endeavor or medical educational research.
- (2) Continuing productivity evidenced by peer-reviewed publications demonstrating appropriate scientific method, analysis, and evaluation of results of biomedical problems or educational approaches, with consideration of quality as well as quantity.
- (3) Participation in the publication or reports of research, case studies, and other observations in leading medical journals, with consideration of quality as well as quantity.
- (4) Authorship of important review articles, chapters, and/or books.
- (5) Ability to stimulate trainees toward scholarship in medicine and medical practice.
- (6) Evidence of success in obtaining extramural research support.

b. Teaching

Faculty are expected to maintain teaching performance at least at the level required for appointment or promotion throughout their careers.

Examples of teaching

- (1) Preparation and presentation of material in a well-organized, current, and stimulating fashion as viewed by senior faculty of the School and Department and by medical, allied health, and graduate students and/or house staff.
- (2) Continuous positive evaluations by students and/or house staff.
- (3) Effective mentoring and project direction for college students.
- (4) Participation in the design, organization, and/or presentation of a major course, clinical rotation, residency program, or subdivision thereof.
- (5) Ability to evaluate and counsel medical and allied health students and house staff.
- (6) Appropriate participation in graduate medical education, post-doctoral education, and continuing medical education activities.
- (7) Effective mentoring of other faculty.
- (8) Recognition as an academic role model and mentor for medical, allied health, and graduate students and house staff.
- (9) Demonstrated enthusiasm and capability in involving patients in the teaching setting.

c. **Professional service**

Faculty are expected to maintain standards of professional service at least at the level required for appointment or promotion throughout their careers.

Examples of professional service

- (1) Provision of high-quality patient care in the chosen specialty of the faculty member.
- (2) Performance as a professional role model for medical students and house officers.
- (3) Additional specialty board certification.
- (4) Membership and participation in the committees and governance of regional or national professional societies of the faculty member's field.
- (5) Effective participation in local professional societies.
- (6) Participation in lay and community services, when appropriate.
- (7) Effective participation in the committees of the faculty member's Department, the School of Medicine, and/or the University.
- (8) Participation in committees and bodies advisory to government agencies and foundations.
- (9) Important contributions as a Department member and faculty member in the operation and development of the Department and/or School of Medicine.

2. **Associate Professor and Professor (RT)**

To qualify for appointment or promotion to Associate Professor or Professor on the **research track (RT)**, the greater emphasis will be placed on scholarly activity. Evidence of teaching or professional service will be considered for those candidates whose Departments expect performance in these areas.

a. **Outstanding scholarship**

Faculty are expected to maintain scholarship at least at the level required for appointment or promotion throughout their careers.

Examples of scholarship

- (1) Demonstrated ability to maintain a scholarly research program funded in large part by external agencies.
- (2) Recognizable research objectives with evidence of past and future prospects for external research support.
- (3) Demonstrated service in collaboration with other University research programs.
- (4) Demonstrated ability to stimulate degree candidates and guide their research endeavors.
- (5) Effective mentoring and project direction for students and/or post-doctoral fellows.
- (6) Publication of research reports in leading refereed journals, with consideration of quality as well as quantity.
- (7) Authorship of important review articles, chapters, and/or books.

b. **Teaching**

In Departments that expect research track faculty to teach, faculty are expected to maintain teaching performance at least at the level required for appointment or promotion throughout their careers.

Examples of teaching

- (1) Preparation and presentation of material in a well-organized, current, and provocative fashion as viewed by senior faculty of the School and Department and by medical and graduate students.
- (2) Assistance in the design, organization, and/or presentation of a course, seminar series, or subdivision thereof.
- (3) Ability to evaluate and counsel medical, allied health, or graduate students and/or house staff.

c. **Professional service**

In Departments that expect research track faculty to engage in professional service, faculty are expected to maintain service performance at least at the level required for appointment or promotion throughout their careers.

Examples of professional service

- (1) Excellence as a scientist and ability to serve as an academic role model and mentor for medical, allied health, and graduate students and/or other trainees.
- (2) Membership and participation in regional or national scientific societies in the faculty member's field.
- (3) Effective participation in the committees of the faculty member's Department, the School of Medicine, and/or the University.

- (4) Important contributions as a Department member and faculty member in the operation, development, and improvement of the Department and/or School of Medicine.

IX. CRITERIA FOR VOLUNTEER APPOINTMENTS AND PROMOTIONS

A. Requirements for appointment and promotion as senior clinical volunteer faculty

1. Clinical Associate Professor

As volunteer members of the faculty, Clinical Associate Professors shall exhibit high levels of skill as practitioners and/or teachers. They shall contribute actively to the educational and/or clinical programs of the School of Medicine, and they shall demonstrate the ability to stimulate students and trainees toward a scholarly approach to medical practice. Such clinical faculty should provide high-quality patient care, as judged by their peers, and should willingly involve their patients in teaching activities.

Examples of teaching and professional service

It is not necessary that a candidate achieve each and every example listed below.

- a. Preparation and presentation of material in a well-organized, current, and stimulating fashion as viewed by senior faculty of the School and Department and by medical, allied health, and graduate students and/or house staff.
- b. Participation in medical courses, clinical rotations, and residency programs in conferences, lectures, seminars, and at the bedside.
- c. Ability to counsel medical and allied health students and house staff.
- d. Recognition as a clinical role model and mentor for medical and allied health students and house staff.
- e. Demonstrated enthusiasm and capability in involving patients in the teaching setting.
- f. Provision of skilled, high-quality, and compassionate medical service.
- g. Participation in lay and community services, when appropriate.

2. Clinical Professor

Clinical Professors shall have achieved undisputed recognition as outstanding teachers and clinicians. They shall demonstrate efficiency in design, organization, and presentation of material, and they shall continue to contribute to the formal teaching programs of the School of Medicine. They should demonstrate a more distinguished level of accomplishment and a longer record of academic involvement than a Clinical Associate Professor.

B. Requirements for appointment and promotion as senior adjunct volunteer faculty

1. Adjunct Associate Professor

As volunteer members of the faculty, Adjunct Associate Professors shall exhibit high levels of skill as teachers and/or investigators. They shall contribute actively to the educational and/or research programs of the School of Medicine, and they shall

demonstrate the ability to stimulate students and trainees toward a scholarly approach to the biomedical sciences.

Examples of teaching and scholarship

It is not necessary that a candidate achieve each and every example listed below.

- a. Preparation and presentation of material in a well-organized, current, and stimulating fashion as viewed by senior faculty of the School and Department and by students and/or house staff.
- b. Effective participation in scholarly activities as an investigator or collaborator.
- c. Ability to counsel medical, allied health, and graduate students or house staff.
- d. Appropriate participation in doctoral, graduate, allied health, medical, or continuing medical educational activities.
- e. Successful mentoring and project direction for students.

2. Adjunct Professor

Adjunct Professors shall have achieved undisputed recognition as outstanding teachers and/or investigators. At Emory they shall have demonstrated leadership in the design, organization, and presentation of material, or significant contributions in the research programs, and they are expected to continue to contribute to the formal educational and/or research programs of the School of Medicine. They should demonstrate a more distinguished level of accomplishment and a longer record of academic involvement than a Clinical Associate Professor.

PROCEDURES FOR APPOINTMENT AND PROMOTION

X. PROCEDURES FOR APPOINTMENT AND PROMOTION AT SENIOR RANKS FOR TENURE, CLINICAL, AND RESEARCH TRACKS

Overview of procedure: Recommendations for appointment and promotion, arrived at using Affirmative Action procedures, the School of Medicine *Faculty Development Policy* and these *Guidelines*, and Departmental policy, are initiated by the Chair of the Department. They are submitted to the Dean for review as described below. Appointments and promotions to Associate Professor and Professor are submitted to the Faculty Committee on Appointments and Promotions and, if favorably reviewed, to the Council of Chairs before a final decision by the Dean. Senior appointments with tenure are then forwarded to the Executive Vice President for Health Affairs for approval before submission to the Provost of the University and the Board of Trustees for action. These procedures are in accordance with the following University policy stated in Art. IV, Sec. 3 of the *Bylaws of Emory University* and in Paragraph 2 of the *Statement of Principles Governing Faculty Relationships*:

Limited appointments shall be made by the President upon recommendation of the Dean of the school or college primarily concerned and the Executive Vice President for Academic Affairs or the Executive Vice President for Health Affairs, whoever is appropriate, and shall be reported to the Board of Trustees or its Executive Committee.

Continuous appointments shall be made by the Board of Trustees or its Executive Committee upon the recommendation of the President, who shall have conferred regarding such recommendation with the Dean of the school or college primarily concerned and the appropriate academic Executive Vice President.

Limited appointments include the ranks of Associate, Senior Associate, Instructor, Assistant Professor, and rarely Associate Professor in the tenure track, and all ranks in the clinical and research tracks.

A. Minimum time in one rank before promotion to the next rank

It is understood that under special circumstances it might be desirable to recommend promotion sooner than the minimum time in rank. The recommendation from the Chair must clearly and explicitly indicate in writing why such exception is warranted.

1. Associate - minimum of two years
2. Senior Associate - minimum of one year
3. Instructor - minimum of one year
4. Assistant Professor tenure track, Assistant Professor (CT), Assistant Professor (RT) - minimum of three years
5. Associate Professor with tenure, Associate Professor (CT), Associate Professor (RT) - minimum of four years
[An Associate Professor, tenure track, must be tenured within three years.]

B. Maximum time in rank before promotion to the next rank

1. General rule

In accordance with the *Statement of Principles Governing Faculty Relationships*, limited appointment in the School of Medicine at the rank of Associate Professor, tenure track, shall not exceed three years. Further, limited appointment on the tenure track at the rank of Instructor or Assistant Professor, in a combination of these ranks or in a combination that includes limited appointment as Associate Professor, shall not exceed seven years.¹ No maximum times in rank exist on the clinical and research tracks, but faculty are entitled to review and promotion in accordance with the School of Medicine *Faculty Development Policy* and the criteria and restrictions herein.

2. Extension of time in academic probationary rank as Assistant Professor

The current policy of Emory University requires that the decision to give continuous appointment to a faculty member be made before the end of the seventh year of employment in a full-time, regular academic position. Since notice should be given for changing or terminating an academic appointment by October 31 of the prior year in the third or later year of appointment, the tenure review must be initiated not later than the

¹ “Years of service” begins at the start of the first full academic year of employment as a regular, tenure track faculty member at Emory. [Board of Trustees Executive Committee Resolution, March 9, 1995.] For example, if the employment date is July 1, the first full year of service begins on the following September 1.

beginning of the sixth academic year. In some unusual cases a time period of five years is too short for the faculty member to have established a national reputation in scholarship, teaching, and/or service. In order to protect the faculty member who has demonstrated excellent potential for reaching tenure, but who has encountered unusual circumstances, the following, derived from the University policy, applies to an extension of probationary time.

a. **Extension of time policy**

A tenure-track faculty member may, under certain circumstances, receive a delay of the tenure review for a period not to exceed two years.

To obtain an extension of the probationary period the faculty member must make a written petition to the Department Chair showing that his or her ability to demonstrate readiness for the grant of tenure has been substantially impaired because of unusual circumstances. Faculty are advised to submit the petition for an extension of the pre-tenure probationary period at the time of the unusual circumstance rather than in year six when the tenure review is due.

The petition, if approved by the Department Chair, Dean, and Executive Vice President for Health Affairs, shall be submitted to the Provost. In the event that the petition is denied before being submitted to the Provost, the faculty member shall have the right to appeal directly to the Provost. The Provost, in consultation with the President, shall grant or deny the petition. The Provost will report regularly to the Board of Trustees on the numbers of extensions requested, the reasons advanced in support of each petition, and the grant or denial of each petition.

b. **Examples of unusual circumstances that might justify a delay in the tenure review**

Such circumstances may include among others:

- (1) The birth or adoption of a child;
- (2) The responsibility for managing the illness or disability of a family member, or illness of the faculty member;
- (3) Personal or family tragedy;
- (4) Catastrophic change in the research environment (equipment, research data, animal, patient, or personal loss) that significantly delays or terminates specific research activity;
- (5) Other justifiable changes in the research goals of the individual or the Department that adversely affect the scholarly productivity of the faculty member; or
- (6) The unforeseen imposition of additional Departmental or University duties on the faculty member that significantly detracts from the time that is available for scholarly activity.

C. **Terms and renewal of limited appointments**

In accordance with the *Statement of Principles Governing Faculty Relationships*, the

terms of limited appointments shall be stated in writing, and the details of limited appointment that are contingent upon specified grants and contracts should be described. Written notice as prescribed in the *Statement* is required for non-renewal of limited appointments. In the School of Medicine, renewal of limited appointments shall be deemed to have occurred in writing on a yearly basis, in accordance with the *Statement*, as long as no written notice of non-renewal of the appointment is provided by the Department Chair to the faculty member. Written notice of attainment of continuous appointment shall also be in writing.

D. **Departmental procedures for appointment/promotion**

1. **Chair's review**

The credentials of all research and clinical track faculty and all tenure-track faculty with limited appointments shall be reviewed by the Chair of the Department in accordance with these *Guidelines* and the School of Medicine *Faculty Development Policy*. Written notice of non-renewal shall conform to Paragraph 7 of the *Statement of Principles Governing Faculty Relationships*.

Action leading to nomination of an individual for appointment or promotion will be initiated by the Chair of the Department in accordance with these *Guidelines* and established Department guidelines.

2. **Departmental committee review**

- a. The Department **appointments and promotions committee** will review the appointment/promotion packet of the candidate and provide its recommendation to the Department Chair.
- b. Female, minority, and disabled faculty members shall be actively involved to the extent it is practicable in appointment, promotion, and tenure decisions.
- c. Sufficient notice of the nature of the review shall be given to the individual under consideration for appointment/promotion to allow for collection and presentation of appropriate evidence, including letters of evaluation, all of which shall be considered by the committee.
- d. Appointment/promotion to full Professor shall require a more exacting and in-depth review than other promotions.
- e. The Department **affirmative action committee** will determine whether the procedures followed by the Department in considering the candidate for appointment or promotion satisfy University Affirmative Action Guidelines and will provide its report to the Department Chair.

3. **Departmental report to Dean**

The materials provided to the Dean will include those required by the President's Advisory Council (PAC) and the Provost, which are included below.

a. **Written report**

Whether recommending promotion or not, the Chair shall submit to the Dean of the School of Medicine a written report and recommendation resulting from the formal promotion review proceedings on any track. The written report from the Chair will give the reasons for each faculty decision. The written report shall be available to the individual under consideration, if requested.

A nomination from the Chair for promotion of a faculty candidate will include:

[Items 1-3 may be included in the Chair's letter.]

- (1) A statement of the data or documents that were reviewed by the Department appointments and promotions committee.
- (2) The vote of the Department appointments and promotions committee (without names).
- (3) A statement that the Department Affirmative Action committee reviewed and certified that affirmative action procedures were followed.
- (4) A letter of support from the Chair of the Department, including
 - (a) a clear statement of the areas in which outstanding, excellent, and good criteria have been achieved by the candidate;
 - (b) an assessment (strengths and weaknesses) of the candidate's qualifications in scholarship for appointment or promotion, including the candidate's field and the candidate's position within the field;
 - (c) an assessment (strengths and weaknesses) of the candidate's qualifications in teaching for appointment or promotion, including a brief summary of teaching activities and how they were assessed;
 - (d) an assessment (strengths and weaknesses) of the candidate's qualifications for appointment or promotion in service at Emory and reputation on the national and/or international level, including a statement that defines the service and describes how the service of the candidate was evaluated at Emory and externally;
 - (e) an assessment of the nature and the current and future impact of the candidate's scholarship, teaching, and service;
 - (f) a description of how the candidate's appointment, promotion, or tenure will advance the purposes of the Department, School, and University;
 - (g) a statement that the form letter recommended by the School of Medicine was used to solicit internal and external evaluations; and
 - (h) for a new appointment, a description of the position and a brief summary of the qualifications of the cohort with whom the candidate has been evaluated.
- (5) The candidate's Teaching Portfolio, prepared by the candidate.
- (6) A copy of the candidate's full *curriculum vitae* in the standard School of Medicine CV format.
- (7) A one-page summary of the CV, for tenure track candidates only.
- (8) Copies of the five representative publications selected by the candidate that were provided to the peer reviewers.

- (9) Copies of all internal and external letters of evaluation, whether favorable or not.
- (10) A list of all internal and external evaluators, and a brief description from the Chair of the credentials of each that explain the selection of that evaluator; the evaluator's perceived standing in the field of scholarship, teaching, and/or service; and the evaluator's relationship to the candidate, if any (e.g., doctoral advisor, co-author, former student, research collaborator; residency director, fellowship advisor). Further information about letters of evaluation is provided below.
- (11) A list of additional potential evaluators, none of whom has advised, mentored, or collaborated with the candidate, prepared in consultation with the candidate.
- (12) A personal statement prepared by the candidate in language that the nonspecialist can understand describing what the candidate plans to do in the next few years in research, teaching, and service, and also reviewing prior achievements in these areas. The statement should be no more than five pages long.
- (13) A list of Emory faculty prepared in consultation with the candidate who may not be used by the Faculty Committee on Appointments and Promotions as secondary reviewers (optional).
- (14) Any other documents supporting the credentials of the candidate.

The Chair may augment the packet with any corrections or clarifications added during the discussions about the candidate and also may add newly accepted publications and new research awards.

b. Letters of evaluation

Chairs shall use the form letter approved by the School of Medicine in soliciting letters of evaluation. All letters received by the Chair will be provided with the Chair's written report. Ordinarily the candidate will submit a list of proposed evaluators to the Chair, and the Chair may select evaluators from this list and add other evaluators.

To the extent possible, evaluators of the candidate's research should be top-ranking scholars in the candidate's field. For candidates proposed for promotion who are already at Emory, it is strongly recommended that evaluators of the candidate's accomplishments in teaching and professional service should include faculty at Emory. For new faculty appointments, evaluators of the candidate's local accomplishments should include faculty at the current institution.

Letters from research collaborators, co-authors, pre-doctoral and post-doctoral advisors, residency directors, and fellowship advisors may be included in the nomination packet but will not count toward satisfying the required number of letters. Letters of evaluation are expected to be from peer reviewers who are generally acknowledged experts in their fields and who do not have a close relationship to the candidate.

(1) **For all faculty who hold joint appointments in a University unit outside the School of Medicine**

For promotion to Associate Professor or Professor on any track, a letter of evaluation of the candidate from the Dean or Director of any University unit outside the School of Medicine in which the candidate holds joint appointment must be part of the record of the nominee.

(2) **For Assistant Professor on any track**

For appointment/promotion to **Assistant Professor**, no letters of evaluation other than the Chair's are required, but others may be included. The Chair's letter shall describe the evaluation of the nominee by the Departmental committee.

(3) **For Associate Professor and Professor with tenure**

For appointment/promotion to the rank of **Associate Professor with tenure**, at least **six** letters of evaluation of the candidate shall be part of the record. At least **four** of the letters shall be from sources outside the institution. Letters from internal evaluators outside the Department are recommended but not required for candidates already at Emory who are proposed for promotion.

For appointment/promotion to the rank of **Professor with tenure**, at least **six** letters from sources outside the institution and **two** from Emory full professors outside the Department shall accompany the nomination.

(4) **For Associate Professor and Professor, clinical track or research track**

For appointment/promotion to the rank of **Associate Professor CT or RT**, at least **three** letters of evaluation of the candidate must be part of the record. At least **two** of these must be from sources outside the University. Internal letters must be from faculty outside the Department.

For appointment/promotion to the rank of **Professor CT or RT**, at least **four** letters of evaluation must accompany a nomination. At least **two** of these must be from sources outside the University. Internal letters must be from faculty outside the Department.

c. **Teaching portfolio**

(1) **Overview**

Teaching is an essential element of the academic mission of the School of Medicine and of a candidate's credentials for senior faculty appointment or promotion on the tenure and clinical tracks and sometimes on the research track. A candidate's contributions in teaching may include instruction of medical, allied health, and graduate students, residents, and post-doctoral fellows; patients, families, and the community; and professional peers through educational presentations at professional meetings and continuing medical

education courses. The instruction of trainees may occur in didactic settings or in direct one-on-one teaching in the laboratory or at the bedside. Teaching also includes the effective mentoring of junior faculty. Quality, time, and effort are all important factors in the evaluation process. Scholarship in biomedical education usually will be documented in the candidate's publications, as shown on the curriculum vitae and in representative samples in the appointment/promotion packet, rather than in the Teaching Portfolio.

(2) **Requirement**

Candidates who are proposed for appointment or promotion in the School of Medicine at the level of Associate Professor or Professor are required to document their teaching activities and evaluations in a Teaching Portfolio, which will be used in the evaluation process. Candidates are urged to begin assembling their portfolios early in their academic careers. Candidates who are proposed for appointment/promotion in part for outstanding performance in teaching shall demonstrate a national reputation in biomedical education.

(3) **Contents of the Teaching Portfolio**

In addition to the description of the Teaching Portfolio provided by the Dean's Office, the contents of the portfolio will also be determined in part by the Department, since the methods of teaching and assessment vary among School of Medicine Departments.

The portfolio shall include the following:

- (a) A description of the teaching activities in which the candidate engaged; i.e., what was assessed as teaching. This will include a list of teaching activities and should also indicate quantity (hours or numbers).
- (b) Clear documentation of the basis for the Department's assessment of teaching as outstanding, excellent, or good; and a description of how the assessment was conducted, i.e., the criteria, the method of assessment, the types of evaluators.
- (c) A description of educational activities in professional organizations, if any, and documentation supporting the assessment, if available.

The Teaching Portfolio may also include the following:

- (d) Letters from internal and external evaluators that specifically evaluate the candidate's teaching. These letters are not the same as the letters from internal and external evaluators of the whole appointment/promotion packet. Often teaching evaluation letters will be from former trainees and from peers who have observed the candidate's teaching. If solicited, a statement of how the evaluators were selected and their relationship to the candidate, if any; a brief statement of the qualifications of the evaluator to provide the assessment; and a copy of the letter(s) used to solicit evaluations should be included.
- (e) A list of significant teaching materials prepared by the candidate, if any.

- (f) A description of public service activities oriented to education.
- (g) Awards for outstanding performance in teaching and biomedical education, if any.
- (h) A list of masters, doctoral, and post-doctoral trainees supervised by the candidate and information about their current employment status, if available.
- (i) A list of courses and self-instructional activities taken to improve teaching skills.

E. Procedure for extra-Departmental review

1. Action by Dean for appointments and promotions to limited introductory ranks

The record of the candidate nominated for appointment or promotion to any of the limited introductory ranks is ordinarily reviewed and acted upon by the Dean without further consultation. The Chair should provide a letter explaining the request and a copy of the candidate's *curriculum vitae*. Appointments and promotions so accomplished are reported to the Council of Chairs for its information.

2. Action by Dean for appointments and promotions to Associate Professor and Professor (all tracks)

The record of the candidate nominated for appointment or promotion to the rank of Associate Professor or Professor (tenure, research, or clinical track) is forwarded by the Dean to the Faculty Committee on Appointments and Promotions.

3. Action by the Faculty Committee on Appointments and Promotions

Recommendations from the Chairs are processed and reviewed by the Faculty Committee on Appointments and Promotions in a similar manner for limited and continuous faculty appointments using the criteria appropriate to each. The Committee shall be furnished with any additional information developed by the Department in which the individual is a faculty member.

a. Committee's initial review of a proposal for appointment or promotion

The Committee will assess each proposal for appointment or promotion to determine whether the letters of evaluation and the documentation for teaching and professional service are adequate for review of the proposal on the grounds submitted by the Department Chair. The Committee may solicit additional letters only from the list of potential evaluators submitted by the Department Chair. The Committee may request in writing specific additional information from the Department Chair.

The Committee Chair will assign a primary reviewer from the Committee to the proposal. The primary reviewer will not have a personal conflict of interest or a primary or secondary appointment in the same Department. The primary reviewer will be a Professor if the candidate is a Professor.

b. Review by primary and expert reviewers

The primary reviewer will rigorously evaluate the quality of the Teaching Portfolio, record of scholarship, letters of evaluation, and record of professional service, in accordance with the criteria described herein. The evaluation of scholarship will include an analysis of the publications submitted by the candidate, of the candidate's entire body of work in his or her identified field, and of the candidate's productivity since the last promotion.

The Committee will have the option of using external secondary reviewers of the candidate's scholarship. If external reviewers are needed, the primary reviewer, in consultation with the Committee Chair, will identify up to two School of Medicine senior faculty members outside the Committee. These reviewers will have sufficient expertise in the candidate's field to evaluate the candidate's scholarship, will not hold faculty appointment in the candidate's Department, will have no personal conflicts of interest that might bias their evaluations, and will not be on the Department Chair's list of unacceptable secondary reviewers. The primary reviewer will receive the written comments of the secondary reviewers and discuss their evaluations with them.

The primary reviewer may contact external or internal evaluators to clarify any questions about their comments.

The primary reviewer will submit to the Committee a detailed written report including his or her recommendations, the written comments of the secondary reviewers, and any other pertinent notes.

c. **Committee's in depth review**

Members of the Committee will be provided with the complete packet for each faculty action, including copies of the reports and comments of the primary and secondary reviewers and any other materials the primary reviewer may have collected. The Committee will discuss and vote on each candidate separately. The deliberations of the Committee are confidential except as reported to the Dean and the Council of Chairs.

d. **Voting**

A quorum of seven members, including the Chair, is required for each discussion and vote on a faculty action. The vote shall be open and each member's vote shall be recorded. The votes of the individual committee members are confidential external to the Committee. Any member who is from the candidate's Department or who has a personal conflict of interest will leave the room during the consideration and will not vote. The Chair may abstain from voting. Members absent from the discussion may not vote and must be recorded as absent. A recommendation of the Committee supporting the proposed promotion or appointment shall be based upon a vote in which a majority of the members present concur. A recommendation of the Committee to deny the proposed promotion or appointment shall also be based upon a majority vote.

e. **Committee report to the Dean**

For each faculty action, the Committee Chair will provide to the Dean a separate written report that reflects the Committee's deliberations and recommendation. The report will include the name of the candidate, current and proposed rank, criteria proposed by the Department Chair, and the strengths and weaknesses of the candidate based on the criteria described herein. When the recommendation of the Committee supporting the proposal is not based upon a unanimous vote, a written minority report is required. When the recommendation of the Committee is against the proposed promotion or appointment, the Chair of the Committee shall submit a brief report to the Dean clearly delineating the perceived deficiencies of the criteria of the candidate. The Committee report will include the number of yes and no votes and the number of absences.

The recommendation of the Committee on Appointments and Promotions is advisory to the Dean.

4. **Action by the Dean**

Favorable recommendations of the Faculty Committee on Appointments and Promotions for faculty appointments and promotions are submitted by the Dean to the Council of Chairs, which makes final recommendation to the Dean for the Dean's approval, depending upon the needs of the School of Medicine and the University, and upon fiscal considerations.

Unfavorable Committee recommendations in which the Dean concurs are remanded to the Department Chair with a description of the Chair's options. When the Dean does not concur, the Dean may seek further advice from the Council of Chairs.

5. **Action by the Council of Chairs**

Candidates for appointment or promotion to Associate Professor or Professor who have received a majority vote of approval by the Department faculty committee and by the Faculty Committee on Appointments and Promotions shall be presented by the Chair of the Department at the meeting of the Council of Chairs. If the Chair of the Department opposes the promotion, the Dean shall appoint an *ad hoc* committee of three members from the Council of Chairs to present the candidate to the Council of Chairs for review. The Chair of the Committee on Appointments and Promotions will attend the meeting of the Council of Chairs to present a summary of the Committee's recommendation on each faculty action, answer questions, and discuss aspects of the Committee's evaluation. The Council of Chairs will vote on each faculty action in the presence of the Committee Chair. After the presentation, the Chair of the Department will be absent from the room during the discussion and vote.

The recommendation of the Council of Chairs is advisory to the Dean.

F. **Procedure for review of an overdue proposal for promotion**

The *Statement of Principles Governing Faculty Relationships* specifies that the length of

the probationary pre-tenure time for a limited faculty appointment shall not exceed seven years on the tenure track at Emory, and further, that a limited appointment as Associate Professor in the School of Medicine shall not exceed three years. *Faculty are responsible for monitoring their pre-tenure probationary time and for ensuring that the tenure reviews occur and allow sufficient time for approval before the end of the probationary pre-tenure period.* Although such instances will be rare and unusual, the faculty member may have insufficient notice of the start-date of the faculty appointment on the tenure track, through inadvertent administrative error in the Department or Dean's office or other extraordinary circumstances. On discovery of such instance, a proposal for the award of tenure, with or without promotion, consequently might be submitted by the Department during the faculty member's probationary period but too late for approvals and appeal, or submitted after the probationary period. In such instance the following procedure will be followed.

1. Departmental review

The Chair of the Department in which the faculty member holds primary appointment will: (a) initiate the usual procedure for review of the faculty member's credentials for the conferring of tenure, with or without promotion; or (b) with the consent of the faculty member, change the appointment to non-continuous (research or clinical track) and so inform the faculty member and the Dean of the School of Medicine in writing.

After the Departmental review, the Chair will submit to the Dean of the School of Medicine a written report explaining the reason for the overdue submission and summarizing the Department's and the Chair's recommendation, favorable or unfavorable, on the faculty action, providing reasons for the recommendation, and including the usual complete supporting credentials.

2. Extra-Departmental review

If the Dean agrees that the circumstances merit exceptional consideration, a favorable recommendation from the Chair will be submitted to the Committee on Appointments and Promotions for review. A favorable recommendation by the Committee for the conferring of tenure, with or without promotion, will be submitted by the Dean to the Council of Chairs, in accordance with the usual procedures, which will make the final advisory recommendation to the Dean. The Dean has the discretion to decide whether the faculty action will be recommended to the President of the University for special consideration.

3. Appeal rights

If an unfavorable recommendation is made by the Department, the Committee on Appointments and Promotions, the Council of Chairs, or the Dean, the faculty member concerned shall have the rights of appeal prescribed in these Guidelines. Whether the recommendation is favorable or unfavorable, the faculty member may not appeal on the grounds that decision was delayed, since the faculty member will have had the advantage of an extended probationary time in which to gain tenure.

G. Procedure for review of long-term Associate Professor with tenure

[Adapted from and subject to policy established by the Emory University Board of Trustees.] Usually, and ideally, promotion from Associate Professor to full Professor with tenure requires evidence of continuing commitment to high quality scholarship, teaching, and professional service, with outstanding performance in at least one and excellent or good performance in two of these criteria. However, occasionally tenured members of the faculty take on roles or an emphasis in their work that does not meet the standard criteria, as exercised, with the result that they remain in the rank of Associate Professor for many years. The careers of such individuals may not receive the wider professional recognition of the more typical scholarly career but nonetheless reflect outstanding and important contribution to the advancement of the mission of the University. Such persons should be eligible for consideration for the highest rank of the faculty, and Department Chairs or the Dean of the School of Medicine may, at their discretion, review and nominate for promotion such individuals who have been in rank twelve years or longer. The nomination must be supported by evidence of significant contributions to and outstanding performance in teaching and service; and supported by peer evaluation and, as appropriate, by evidence of scholarship. The nomination for appointment to Professor with tenure will be processed and reviewed in the usual manner for such appointment.

XI. PROCEDURES FOR VOLUNTARY AND JOINT/SECONDARY APPOINTMENTS AND PROMOTIONS

A. Clinical (volunteer), adjunct (volunteer), special titles

Nominations for appointments and promotions in the clinical (volunteer) and adjunct (volunteer) faculty ranks and in the faculty ranks with special titles or descriptions, such as lecturer, visiting, part-time, acting, or temporary, are recommended, processed, and reviewed in the same manner as those for regular faculty appointments to the rank of Assistant Professor.

In addition to approvals from the Department Chair and Dean of the School of Medicine, special contractual agreements may be required for volunteer faculty appointments in the School of Medicine of candidates who hold faculty appointments at other institutions and for School of Medicine faculty who wish to hold volunteer faculty appointments at other institutions. The Dean's office will assist Department Chairs in obtaining such agreements.

B. Joint and secondary appointments

Nominations for joint (shared compensation) or secondary (without compensation in second Department) appointments within the School of Medicine are processed and reviewed in the same manner as those for regular faculty appointments to the rank of Assistant Professor. In addition to the letter from the Chair of the second Department requesting the appointment, a letter of approval from the Dean of the appropriate school, Director of the center, or Chair of the individual's Department of primary appointment is required.

In addition to approvals from the Department Chair and Dean of the School of Medicine,

special contractual agreements may be required for joint or secondary faculty appointments in the School of Medicine of candidates who hold faculty appointments at other institutions and for School of Medicine faculty who wish to hold compensated joint or secondary faculty appointments at other institutions. The Dean's office will assist Department Chairs in obtaining such agreements.

FACULTY COMMITTEE ON APPOINTMENTS AND PROMOTIONS

XII. GUIDELINES FOR THE FACULTY COMMITTEE ON APPOINTMENTS AND PROMOTIONS

A. Structure of the Committee

The Committee on Appointments and Promotions will be composed of eleven members and one Committee Chair (excluding Department Chairs and Acting Chairs), all of whom will be full-time Associate Professors and Professors on any track in the School of Medicine. Seven members from clinical Departments and four members from basic science Departments will comprise the Committee. The membership shall include at least one professor from the research track and one from the clinical track.

B. Appointment by Dean

1. Members

The Committee will be appointed by the Dean from nominees submitted by the Department Chairs, and each member will be approved by the Council of Chairs.

The membership will include women and minorities and a diversity of expertise in scientific disciplines, teaching, and professional service. Each member will be competent and rigorous in his/her discipline.

2. Committee Chair

The Committee Chair will have one or more years of service on the Committee and will be appointed by the Dean of the School of Medicine. The Chair will be responsible for the operation of the Committee. Administrative support for and oversight of the Committee will be provided by the Executive Associate Dean / Administration and Faculty Affairs.

3. Term of service

The term of the Committee Chair will be at the discretion of the Dean of the School of Medicine.

Members will serve on the Committee for a term of three academic years (September 1 - August 31). Terms will be renewable at the discretion of the Dean, in consultation with the Committee Chair and Department Chair. A member who fails to perform effectively may be removed by the Dean on the recommendation of the Committee Chair. The terms of the initial members will be staggered so that no more than approximately one-

third of the Committee members are replaced each year, according to the following table:

Member	Term (years)
Chair	Dean's discretion
Clinical 1	3
Clinical 2	3
Clinical 3	2
Clinical 4	2
Clinical 5	2
Clinical 6	1
Clinical 7	1
Basic Science 1	3
Basic Science 2	3
Basic Science 3	2
Basic Science 4	1

A replacement, appointed by the Dean and approved by the Council of Chairs, will complete the term of any member who takes leave or is removed from the Committee or is appointed as Committee Chair.

C. Duties of Committee

The Faculty Committee on Appointments and Promotions will review all proposals for appointment and promotion on the tenure, clinical, and research tracks at the rank of Associate Professor and Professor and provide to the Dean a written report with a recommendation for each proposal. The Committee also may serve as a resource to the Dean on matters covered by these Guidelines. Meetings will be called by the Committee Chair. The Committee will meet regularly and carry out its duties in a timely manner, in accordance with time lines prescribed by the policies of the University and School of Medicine and by the offices of the Provost and President and the Board of Trustees.

D. Records

Records of the decisions of the Departmental review committee and the Faculty Committee on Appointments and Promotions are maintained in the Department and in the Office of the Dean, respectively.

APPEALS, TERMINATION, AND RECORDS

XIII. APPEALS

A. Appeal of Chair's decision or decision of Departmental committee

In the event that the Chair of a Department declines to initiate the process that may lead to a recommendation for promotion, or if the Department's recommendation is unfavorable, the individual concerned or other faculty members acting on his or her behalf may appeal the case in writing to the Dean. The Dean has the discretion to accept the appeal or not. If the appeal is accepted, the Dean may make a decision on the appeal, may submit the case to the Faculty Committee on Appointments and Promotions as specified herein, or may seek advice from the Council of Chairs.

B. Appeal of recommendation of the Committee on Appointments and Promotions

A candidate or Department Chair may appeal in writing to the Dean of the School of Medicine an unfavorable recommendation by the Faculty Committee on Appointments and Promotions. The basis for such an appeal shall be:

1. That the Subcommittee failed to adhere to and equitably apply the *Guidelines for Appointment, Promotion, and Tenure* or
2. That there has been a violation of academic freedom.

The Dean has the discretion to accept the appeal or not. If the appeal is accepted, the Dean may make a decision on the appeal or may seek advice from the Council of Chairs. The Council of Chairs will consider only substantive information in any decision that may reverse the recommendation of the Committee on Appointments and Promotions.

C. Appeal of decision of Dean

A candidate may appeal to the Executive Vice President for Health Affairs an unfavorable decision by the Dean. The Executive Vice President of Health Affairs, in coordination with the Provost of the University, will determine the procedure by which such appeals are reviewed.

D. Appeal of decision allegedly based on discrimination

Any faculty member may appeal an unfavorable decision believed to be based upon prohibited discrimination through the grievance procedure prescribed in the Affirmative Action Program.

XIV. TERMINATION OF APPOINTMENT

Termination procedures will conform to the University *Statement of Principles Governing Relationships*.

XV. RECORDS

These Guidelines and any additional Departmental requirements for appointment, promotion, tenure, and termination must be kept on file in the office of each Department and made available to the faculty. Complete records of the review process for each candidate, including all pertinent data and the written reports of recommendations, must be kept on file in the Department of the

candidate for a period of not less than three years, regardless of whether a recommendation for appointment or promotion was made.

A complete record of the appointment and promotion history of each faculty member shall be kept on file in the office of the Department and the office of the Dean of the School of Medicine for at least seven years following the individual's resignation, termination, or retirement date.

**These Guidelines revised, approved by
Faculty and Council of Chairs, and
effective April 2001.**