

VIRGINIA COMMONWEALTH UNIVERSITY

AND SCHOOL OF MEDICINE, NORTHERN VIRGINIA DIVISION INOVA CAMPUS

Faculty Promotion and Tenure Policies and Procedures

Virginia Commonwealth University herewith establishes its policies and procedures for faculty promotion and tenure. This document institutes a unified promotion and tenure system throughout the University, while allowing variations in the academic units to accommodate their specific needs.

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1.0 Goal, Objectives and Authority

1.1 Goal

Excellence is the original and continuing goal of Virginia Commonwealth University. A prerequisite of this goal is the recruitment and retention of a distinguished faculty. This requires the appointment, promotion and tenure of a faculty in a way that encourages excellence and creates an atmosphere of free inquiry and expression.

Appointment, promotion and tenure are based on the merit of the individual, consideration of comparable achievement in the faculty member's particular field, and the faculty member's value to the mission, needs and resources of the University.

Promotion in rank reflects quality of performance in appropriate teaching, scholarship and service. Tenure shows the University's continuing commitment to the faculty member, whose position shall not be terminated without adequate reason. The promotion and tenure system at Virginia Commonwealth University is designed to foster:

- Academic freedom of thought, teaching, learning, inquiry and expression.
- Fair and equitable treatment for all individuals.

- Appropriate participation by the faculty, the student body, the administration and the Board of Visitors.
- A normal succession and infusion of new faculty.

1.2 Objectives

The objectives of the system described in this document are:

- Assessment of faculty performance to the highest attainable degree within the context and resources of the University.
- Support of the goals of the University and support of the diverse missions and characteristics of its individual academic units.
- Commitment to administrative management which provides for fair and reasonable allocation of time and resources.
- Assurance of the financial integrity of the institution.
- Sufficient flexibility to permit modifications of programs, curricula and academic organizational units to meet changing academic, institutional and societal needs.

1.3 Relationship of Schools and Departments to University Promotion and Tenure Policy

Each school¹ and each department of a school where recommendations for academic appointments are initiated shall establish written guidelines for promotion and tenure. The guidelines shall be consistent with the University-wide policies in this document, but shall also specify the details involved in meeting the particular goals and objectives of those units.

Promotion in rank and tenure are considered initiated wherever the budgetary and signature authority for Personnel Actions Forms resides. If promotion and tenure are initiated only at the school level, guidelines shall be written only for the school. If promotion and tenure are initiated at the departmental level, guidelines shall be written for both the department and the school. The guidelines for the procedures and criteria for a given department of a school may be identical to the guidelines of that school.

Guidelines shall define tenured and non-tenure faculty positions and the relationship of the unit's promotion and tenure system to the unit's work plan and individual faculty work plans developed in accordance with the Faculty Roles and Rewards Policy². The guidelines of each school and each department must be consistent with university policy but shall include procedural variations, composition of committees and criteria for promotion and tenure relative to the unit's mission. The guidelines shall include specific measures for evaluating faculty performance.

The guidelines for all departments and/or schools shall be formulated and reviewed periodically by a committee of the department and/or school. The faculty shall elect the committee members, and the committee members shall be open to faculty recommendations. A majority vote of the faculty shall be required for the approval of all unit guidelines.

1.4 Appointing Authority

Promotion and tenure of the faculty are made under the ultimate authority and with the final approval of the Board of Visitors.

The president is authorized to recommend faculty promotions and conferral of tenure to the Board of Visitors according to the procedures set forth in this document.

2.0 Faculty Ranks

University faculty appointments are at the ranks of professor, associate professor, assistant professor and instructor.

2.1 Basic Criteria

Appointment or promotion to assistant professor shall indicate the candidate can be expected to perform satisfactorily all required academic duties and holds promise for further professional development. Appointment or promotion to associate professor shall indicate a sustained record of professional achievement. Appointment or promotion to professor shall indicate national peer recognition of professional achievements.

2.2 General Criteria

In order to foster the university's commitment to excellence, the following criteria shall apply in the evaluation of all faculty for promotion and tenure. Individual faculty work plans developed in accordance with the Faculty Roles and Rewards Policy, and the special mix of duties assigned to faculty members holding collateral faculty appointments, shall guide evaluation of each faculty member's effort under each criterion.

1. Appropriate credentials and experience.
2. Demonstrated quality in teaching.
3. Demonstrated continuing scholarship and professional growth.
4. Demonstrated performance of service responsibilities within the university, school, and department; and to the profession and broader community.

2.3 Departmental and School Criteria

- The detailed school and/or department guidelines shall amplify the general criteria of the University.
- Additional special criteria unique to a given school and/or department are encouraged.
- The individual school and/or department guidelines shall designate the relative weight assigned to the various criteria.

Each department of the School of Medicine, Northern Virginia Division, Inova Campus is expected to develop and sustain an outstanding faculty actively engaged in teaching, scholarship, and service. Each faculty member must demonstrate meritorious contributions to teaching and scholarship and provide meaningful service to the institution, community and profession. A faculty member's length of service shall be taken into consideration in determining whether or not the faculty member should be promoted, but longevity per se is not necessary nor sufficient grounds for promotion. Where departmental guidelines have been created, they may amplify but not contradict this document.

Faculty performance with respect to teaching, scholarship and service shall be rated (in descending order) as excellent, very good, satisfactory, or unsatisfactory. Credentials and experience shall be rated as satisfactory or unsatisfactory. All written reports and evaluations of faculty performance ratings shall use this terminology.

SCHOOL OF MEDICINE NORTHERN VIRGINIA DIVISION, INOVA CAMPUS CRITERIA

The faculty at the Inova campus shall be identified in their appointments and contracts as "Inova teaching faculty" whose appointments and promotion are to recognize and reward accomplishment in the scholarship of teaching, application, integration and discovery and professional contributions to the institution, the profession and the community. The modifier shall be used in all correspondence as "Inova teaching faculty" or the "appropriate rank, Inova Campus".

The quality of the school and its programs depends directly on the quality of the faculty. The key to promotion is achievements in teaching excellence, honors, scholarly activity, professional reputation and clinical service. The faculty are encouraged to review their performance with their chairs or campus deans at least annually, preferably in writing.

1. Academic Credentials and Experience

The candidate must hold an appropriate degree in an appropriate discipline, plus such postgraduate training as to satisfy licensure and specialty board eligibility, where such training is appropriate.

2. Teaching

Teaching includes formal lectures, small-group education and one-to-one teaching. It includes teaching in the hospital, clinic, operating room, laboratory, continuing education, and other settings and may include training of staff other than students.

The candidate should demonstrate the ability to lead students to think purposefully and critically, to broaden the student's interest, to seek out innovative techniques where appropriate, and to transmit knowledge effectively.

3. Scholarly Activity

This includes peer reviewed basic, clinical and educational scholarship. The committee should evaluate the significance of the candidate's scholarly activity. Both quantity and quality should be assessed to achieve a balanced evaluation and all possible evidence of scholarly activities and capabilities should be sought, including published materials in refereed journals as well as unpublished manuscripts accepted for publication. Any pending patent application approved by the University shall be given appropriate credit.

4. Service

Clinical Activities

Faculty shall be evaluated for quality, quantity and timeliness of patient care including diagnosis and/or therapeutic expertise. Documentation from professional colleagues within and without the institution, students, and house staff will be sought. Attitude toward patients shall be evaluated by inquiries of clinical peers as well as patient satisfaction questionnaires, if available.

General Service

The candidate's service to the department, school, university, and local community (in ways related to the candidate's academic position), profession, professional organizations, and academic and scientific communities, both regionally and nationally, should be carefully assessed.

5. *Timetable for Promotion Decision Activities (See Appendix I)*

Inova Campus, School of Medicine Criteria By Academic Rank: Non Tenure-Eligible

All promotion decisions shall be based solely on demonstrated merit, the quality of contributions to the school, the regular performance of duties, and the ability to participate cooperatively in an environment conducive to learning. Candidates must demonstrate evidence of professional development or achievement since attaining their current rank. For each successive faculty rank, greater efforts and contributions are expected.

Candidates recommended for promotion must meet the following minimum qualifications:

a. Instructor

An individual who has attained the appropriate degree in his or her discipline or has completed board eligibility requirements but who has had little or no academic experience may be appointed.

b. Assistant Professor

For promotion to this rank a candidate must have:

- (1) the highest appropriate degree in a specific discipline or field and have completed board eligibility.*
- (2) Demonstrated professional competence in a specific discipline or field.*
- (3) Demonstrated an ability to teach effectively with promise of growth in teaching, service and/or scholarship. Review by the school committee is not required for promotion from instructor to assistant professor. The peer committee must submit to the chair the candidate's curriculum vitae, bibliography, faculty data sheet, and documentation that all of the requirements listed above have been met satisfactorily and the chair must submit to the Associate Dean, School of Medicine, Inova Campus.*

c. Associate Professor

For promotion to this rank a candidate requires:

- (1) Demonstrated evidence of effective teaching. Teaching means classroom, laboratory instruction, preparation of teaching materials, creative and innovative design of courses, academic advising and activities that contribute to the academic advancement of students.*
- (2) A record of professional service appropriate to the discipline and the academic unit of sufficient quality to indicate the continuation of a creative career.*
- (3) Demonstrated scholarship in teaching, discovery, integration and application of expertise and skills or medical research.*

A positive recommendation for promotion to associate professor should be made when evaluation based on documented evidence of teaching and/or creative activity is

- (1) Satisfactory or better in scholarship,*
- (2) Very good in service,*
- (3) Excellent in teaching.*

(1) The candidate usually must have at least six year's professional experience as an Assistant Professor.

(2) Teaching

A major component in the evaluation of teaching is the overall judgment of students and the academic unit or department. Questionnaires developed at the school level may be used for this purpose. Teaching includes the conveyance of knowledge and application of current practices and therapies of one's discipline. Candidates may also influence teaching by designing courses and curricula and may indirectly, support student learning activities. Innovative instructional material may be considered contributions to teaching. The candidate should teach in continuing medical education courses, when appropriate.

(3) Scholarship

The candidate should demonstrate maturity and professional competence in scholarship or as a leader in collaborative research that should lead to publication of new knowledge in refereed journals, favorable reviews of books written by the candidate, appointments or awards that require evaluation of professional competence.

Funding for research efforts, service to study sections, review committees or invitations to referee or provide editorial duties for national or international scientific journals also reflects the candidate's achievements and recognition in his or her area of expertise

(4) Service

The candidate must demonstrate creative service contributions, which can include local, state, regional, national, University, campus, department as well as in the community at large especially in leadership roles, presentations and consultative services.

d. Professor

The attainment of full professorship is a mark of exceptional academic achievement. Promotion to the rank of Professor is based upon continued achievements in teaching, scholarship and service, with the realization of national recognition in at least one of these areas.

Only a faculty member who has demonstrated continued growth in teaching effectiveness, student advising, peer-reviewed scholarly activity and professional contributions and service can earn this rank.

The candidate must display evidence of significant and sustained university/school related service.

For promotion, the candidate must be rated as excellent in either teaching or scholarship. A rating of unsatisfactory in any of the four categories of evaluation will provide a sufficient basis for denial of promotion.

A positive recommendation for promotion to professor should be made when the candidate meets each of the following conditions:

- (1) satisfactory or better on all criteria,*
- (2) very good or excellent on at least two of the following criteria: teaching scholarship and service,*
- (3) excellent in either teaching or scholarship.*

(1) As a general rule, the candidate should have held appointment as Associate Professor for a minimum of three years.

(2) Teaching

The candidate is expected to be involved on a regular basis in teaching programs and should be established as an effective teacher in a formal setting. The candidate should have made important contributions and innovations in teaching or should have primary responsibility for a course, e.g. as

coursemaster. The candidate should have successfully served as the advisor of graduate students and/or postdoctoral trainees. To be excellent the candidate should be recognized at a national level, e.g. by editing or authoring a textbook or being an invited speaker at national meetings.

(3) Scholarship

(a) The candidate's publication record should be distinguished by originality and creativity, including peer-reviewed articles in journals, reviews and book chapters. Quality is more important than quantity. National recognition of scholarship must be corroborated by external scientists of outstanding reputation.

(b) The candidate should have demonstrated a sustained pattern of scholarly work through submission of manuscripts to recognized journals within the field and/or delivery of peer reviewed presentations at professional meetings.

(c) The candidate should have demonstrated an appropriate degree of cooperativeness, as evidenced, for example, by the initiation of formal cooperative research ventures with his or her colleagues, or served as a resource for junior faculty within the institution.

(4) Service

The candidate must have demonstrated creative service contributions, which can include local, state, regional, national, University, campus, department as well as in the community at large especially in leadership roles, presentations and consultative services. In addition, the candidate should have assumed a leadership role in the department, school or University, and actively participate in his or her profession outside of the university and gain recognition for contributions to the field.

3.0 Appointments

All faculty appointments shall be either tenured, probationary (tenure-eligible), collateral (non-tenure), or adjunct (non-tenure).

Adjunct (non-tenure) appointments are part-time. All other appointments shall be full-time and either tenured, probationary (tenure-eligible), or collateral (non-tenure).

Unless otherwise specified in the contract letter, when the term of the appointment of a full-time faculty member is not to be renewed, the faculty member shall be notified:

1. At least three months prior to the expiration of the appointment during the first year at the University;
2. At least six months prior to the expiration of the appointment during the second consecutive year at the University;
3. At least 12 months prior to the expiration of the appointment after two consecutive years at the University.

3.1 Tenured Appointments

APPOINTMENTS IN CONSIDERATION OF TENURE SHALL NOT BE MADE AT THE SCHOOL OF MEDICINE, NORTHERN VIRGINIA DIVISION, INOVA CAMPUS.

3.2 Probationary (Tenure-Eligible) Appointments.

This subsection does not apply to the Inova teaching faculty.

3.21 Alterations of the Probationary Period.

This subsection does not apply to the Inova teaching faculty.

3.22 Evaluation of Probation

This subsection does not apply to the Inova teaching faculty.

3.23 Linkage

This subsection does not apply to the Inova teaching faculty.

3.3 Collateral (Non-tenure) Appointments

A collateral (non-tenure) appointment is a full-time appointment to the faculty for a specified term and does not lead to tenure. Collateral faculty members shall hold the same rights and responsibilities specified in the Faculty Handbook as tenured or tenure-eligible faculty except they shall not be afforded tenure or tenure eligibility. Collateral faculty supported by restricted funds may be subject to different terms of notification of non-renewal than are specified in 3.0. Such terms shall be specified in the letter of appointment.

Collateral appointments shall always be at the rank of professor, associate professor, assistant professor or instructor. When appropriate to the duties assigned to the faculty member holding a collateral appointment, modifiers (e.g., Clinical Professor, Visiting Professor, Research Professor or Teaching Professor) should be used.

A collateral appointment may be for a term of one to five years and is renewable.

The Inova teaching faculty is a community of educators committed to teaching. An essential component of their academic endeavors is provided as teaching clinical skills in the delivery of healthcare to patients. Academic appointments shall be those in which the principal responsibilities are teaching and academic service or a combination thereof.

There shall be only one class of academic appointments designated as Collateral (non-tenure). The designation, Inova Teaching Faculty, must accompany all faculty appointments in contracts and correspondence.

Appointment. *A recommendation to appoint a collateral faculty member should include the rank and the proposed appointment period. The letter of appointment must stipulate that this is a non-tenure eligible position and specify the mix of duties and the appointment period. For appointments above the Instructor level, the mix of duties must include a component of scholarship.*

Full-time collateral teaching appointments are for academic faculty, who are engaged primarily in teaching and university/school related service full time with incident patient care responsibilities. Full time is defined as devoting at least 30 contact teaching hours/year to their VCU appointed positions. Faculty in this group shall be identified as Professor, Inova Teaching Faculty, Associate Professor, Inova Teaching Faculty, Assistant Professor, Inova Teaching Faculty and Instructor, Inova Teaching Faculty

Each unit with collateral faculty appointments shall provide written guidelines for promotion. The guidelines shall be the same as those used for promotion of tenure and tenure-eligible faculty except a collateral faculty's effort shall be weighted by the special mix of duties assigned to faculty members holding collateral appointments. The guidelines shall also specify how a faculty vote will be taken in a recommendation to promote or renew collateral faculty appointments.

3.4 Continuing Review of Faculty

All tenured and non-tenured faculty shall be evaluated annually using criteria established in the guidelines of the school and/or department. Faculty with collateral appointments also shall be evaluated annually using the guidelines of the school and/or department, but taking into consideration the special duties assigned to the individual faculty member's collateral appointment. The guidelines for all evaluations shall be consistent with and fully incorporate the guidelines in the Faculty Roles and Rewards Policy.

3.5 Adjunct Appointments

Adjunct faculty (non-tenure) appointments are granted to faculty who serve the University part-time and are employed for specific activities. The rights and privileges of adjunct faculty shall be specified in the guidelines of the unit making the appointment, but they shall not participate in the evaluation of full-time faculty for promotion or tenure.

Recommendations for appointments or rank of part-time non-tenure faculty shall not require academic review outside the school. These personnel actions shall be reviewed using guidelines established by the school and department and recommended by a letter from the department and/or school with the concurrence of the dean.

Part-time faculty is defined as devoting a minimum of 8 contact teaching hours/year to their VCU appointed position. Faculty in this group shall be identified as Professor, Inova Teaching Faculty, Associate Professor, Inova Teaching Faculty, Assistant Professor, Inova Teaching Faculty, and Instructor, Inova Teaching Faculty.

Re-appointment of faculty will be conditioned on continuing teaching and service to the school as judged by the department chair.

3.6 Honorary Titles

The Board of Visitors may designate the rank of distinguished professor, University professor or emeritus professor as deemed appropriate. The voting privileges of faculty holding honorary titles shall be specified in the guidelines of the units where they are appointed.

3.7 Administrative Titles

Faculty may be assigned administrative titles designating administrative responsibilities held in addition to any tenured/tenure-eligible or non-tenure faculty rank concurrently held.

Administrative titles and compensation for administrative responsibilities are held independent of any concurrently held faculty rank. Periodic reviews of a faculty member's performance as an administrator are separate and independent of academic reviews conducted for faculty promotion and/or tenure conducted under this document.

Administrative titles and responsibilities are held for specific terms or at the discretion of a superior administrative officer. Removal from an administrative position does not impair any rights the administrator held as a faculty member.

It is not possible for an administrator to hold tenure in an administrative title, but administrators may earn and hold tenure under concurrently held faculty titles.

3.8 Notice of Appointments

Every faculty appointment or change of status shall be specified in a written notice of appointment issued by or in behalf of the Board of Visitors to the faculty member.

The notice shall include the following information: rank, academic unit(s) in which the appointment is made, type of appointment (tenured, tenure eligible, collateral, adjunct), period of appointment, whether it is part or full time, and salary. If it is a tenure eligible position, the notice of appointment shall also include the length of the probationary period and the tenure review date.

Except for increases in rank or salary, and except for action expressly authorized by these regulations, changes in any of the items listed in 3.8 are not permitted during the term of an appointment except with the agreement of the faculty member and the Board of Visitors or its authorized delegate.

3.9 Joint Appointments With Non-University Agencies

A joint appointment for a faculty member with a non-University agency does not in any way fiscally obligate the University for salary or benefits supplied by the non-university agency in the event of a change in the relationship between the faculty member and the non-University agency or between the agency and the University.

Joint appointments with a non-University agency shall require a letter of approval from the University and non-University administrative units involved in the appointment. Such letters shall specify the privileges granted to the faculty member by each unit and the responsibilities and obligations of the faculty member to that unit during the appointment.

Affiliate Faculty Appointments are unpaid as discussed in the Affiliate Faculty Appointment Policy (See Appendix II)

4.0 University Promotion and Tenure Policy Review Committee

4.1 Committee Composition

- a. The University Promotion and Tenure Policy Review Committee shall consist of a minimum of one tenured faculty member from each school, none of whom hold administrative titles at the level of departmental chair or above. No school shall have more than three members serving on the committee at any given time.
- b. To fill a vacancy, the President of Virginia Commonwealth University shall appoint committee members from a list composed of three names jointly recommended by the President of the Faculty Senate and the dean of the school with the vacancy. The president shall designate the chair of the committee.

c. The members of the committee shall serve staggered three-year terms. In case of vacancies the president shall make appointments to fill uncompleted terms. Persons who have served a complete three-year term are ineligible for reappointment for three years.

d. Members of the University Promotion and Tenure Policy Review Committee shall not be eligible for concurrent service on a departmental or school promotion and tenure committee while serving on the University Promotion and Tenure Policy Review Committee.

4.2 Committee Duties

The Committee shall:

a. Formulate and, with the president's approval, issue such general instructions and schedules as may be necessary to coordinate the promotion and tenure process throughout the University.

b. Receive the written guidelines for promotion and tenure from each unit where academic personnel actions are initiated and from all units that participate in the academic review process in that school. The University Promotion and Tenure Policy Review Committee shall review the guidelines for clarity and conformity with this document and either approve or propose modification of the guidelines.

c. Perform an in-depth review of all steps of the promotion and tenure process in each school every third year on a rotating basis. This review shall include at least one member of the Promotion and Tenure Policy Review Committee attending, as an observer, at least one meeting of each step of the review process in that school and examining a random sample of promotion and tenure files of faculty being reviewed. The review of the school shall also include a written notification to the faculty of the unit under review and invite oral or written comments regarding the application of the guidelines and/or procedures used in the school for appointment, promotion and tenure. The findings concerning the review of each school's promotion and tenure process shall be reported in writing to the president with copies both to the dean and to the promotion and tenure panel of that school.

d. Report annually to the president and to the faculty on the operation of the promotion and tenure system, including the number of candidates and the outcomes of their candidacy.

5.0 School Promotion and Tenure Committee

5.1 Committee Election and Term of Office

Each school shall elect a school promotion and tenure committee as provided by the guidelines of the school. The school guidelines may allow the dean to appoint additional committee members following the election of the committee. Only full-time faculty members shall be eligible to vote.

The committee shall consist of no fewer than three faculty members all of whom shall be tenured. None of the committee members shall hold an administrative title at the level of departmental chair or above.

Members of the school promotion and tenure committee shall serve staggered three year terms. Those who have served three consecutive years are ineligible to serve again for one year. In the event committee vacancies should occur, an interim election shall be

held to fill the incomplete term. Each year the committee shall elect a chairperson from its members.

Promotion Review Committee- School of Medicine, Inova Campus

The Inova Campus shall elect a school-wide promotion review committee consisting of 3 members. The School of Medicine Dean shall appoint three tenured committee members from outside the Inova Campus following the election of the committee. Only fulltime faculty members at the Associate Professor rank or higher shall be eligible to serve. A student member shall serve ex-officio. A committee member who resides in same academic unit shall not be a part of deliberations or voting concerning a faculty member from that unit. In order to maintain a quorum, the Dean can appoint an “ad hoc” member who meets the above criteria to serve for that deliberation. Four voting members constitute a quorum.

Ideally, the candidate and the department chair or associate dean, School of Medicine, Inova, will resolve any differences based upon challenge to the Review Committee membership. If not, the associate dean, in consultation with the chair, will appoint a School ad-hoc, Grievance Committee, who will adjudicate the differences. Any challenges submitted in writing will be returned to the candidate upon resolution of the committee structure.

The faculty member has primary responsibility for preparation of the dossier with major assistance provided by the chair. The chair must submit the dossier that follows a common format developed by the associate dean, and documentation that all of the requirements have been met satisfactorily to the Associate Dean, School of Medicine, Inova campus.

6.0 University Appeal Committee

6.1 Committee Composition

- a. The University Appeal Committee shall consist of at least one tenured faculty member from each school, none of whom hold administrative titles at the level of departmental chair or above. No school shall have more than three members serving on the committee at any given time.
- b. To fill a vacancy, the President of Virginia Commonwealth University shall appoint each committee member from a list composed of three names jointly recommended by the President of the Faculty Senate and the dean of that school with the current committee vacancy. The president shall designate the chair of the committee.
- c. The members of the committee shall serve staggered three-year terms. In case of vacancies the president shall make appointments to fill uncompleted terms. Persons who have served a complete three-year term are ineligible for reappointment for three years.
- d. Members of the University Appeal Committee shall not be eligible for concurrent service on a departmental or school promotion and tenure committee.

6.2 Committee Duties

The Committee shall review all faculty appeals as specified in 9.1 of this document.

The University Appeal Committee shall hold hearings regarding any proposed dismissal for cause of a tenured faculty member as specified in 11.0 of this document.

7.0 Academic Review Procedures for Promotion and Tenure

Sections 7.1 to 7.12 - Apply only to those units where budgetary and signature authority for Personnel Action Forms has been delegated to the departments of a school.

Sections 7.2 to 7.22 - Apply only to those units where budgetary and signature authority for Personnel Action Forms is retained at the school level.

7.1 Promotion and Tenure Initiated at the Departmental Level

Recommendations for promotion and tenure are initiated at the departmental level in those schools with departments having budgetary and signature authority for initiating Personnel Action Forms.

In those units where recommendations for academic personnel actions are initiated at the departmental level, the review process begins at the department. The candidate, with the departmental chair, shall develop a file following the guidelines established by the department. The completed file shall be forwarded to the peer committee to conduct a substantive evaluation of the candidate's record and performance.

7.11 Peer Evaluation

The department chair shall form a peer committee following procedures described in the departmental guidelines. Except when the candidate undergoing review is a collateral faculty member for promotion only, the peer committee shall be composed of tenured faculty only, primarily from the school, but there must also be tenured faculty representation from outside the department. If the candidate undergoing review is a collateral faculty member, the committee may include collateral faculty. In addition, student representation is required. The voting status for student members shall be specified in the departmental guidelines.

The chair shall notify the candidate of the proposed peer committee, and the candidate shall have the right to challenge any member of the committee for cause. Such challenges must be made in writing to the chair within five working days following the date the candidate is notified of the composition of the committee.

The peer committee shall conduct a substantive evaluation of the candidate's record and performance, including all accumulated student evaluations, individualized work plans developed in accordance with the Faculty Roles and Rewards Policy, prior reviews and written internal and external evaluations. Only the peer committee shall solicit and receive external evaluations. Evaluations may be solicited from both persons suggested by the candidate and persons suggested by the committee. The file shall list all persons solicited for letters and identify each person as either named by the candidate or named by the committee. All solicited letters received must be included in the file. Each department's guidelines shall specify the details of the use of external evaluations in that unit's academic review process.

The peer committee shall add a written report to the candidate's file which shall include the numerical results of a secret ballot for or against recommending promotion and/or

tenure and the rationale for the recommendation. The peer committee shall forward the file to the chair of the department.

7.12 Department Chair

After receiving the file from the peer committee, the chair of the department shall review the file using the department guidelines as a reference, request supplementary material as needed, add a written recommendation and forward the recommendation, the file, and the peer committee report to the school promotion and tenure committee.

7.13 School Promotion and Tenure Committee Evaluation

The school promotion and tenure committee shall receive the file from the chair of the department and review the file using the guidelines of the school as a reference. The committee shall review prior recommendations and enter a written report of its proceedings including the results of a secret ballot for or against recommending promotion and/or tenure and the rationale for the recommendation. The file shall be forwarded to the dean of the school.

7.2 Promotion and Tenure Initiated at the School Level

Recommendations for promotion and tenure are initiated at the school level in those schools having budgetary and signature authority for initiating Personnel Action Forms.

In those units where recommendations for promotion and tenure are initiated at the school level, the review process begins at the school level. The candidate, with the dean, shall develop a file following the guidelines established by the school. The completed file shall be forwarded to the peer committee to conduct a substantive evaluation of the candidate's record and performance.

7.21 Peer Evaluation

When applications for promotion and tenure are initiated at the school level, the school promotion and tenure committee shall form a peer review committee following procedures described in the school's guidelines. School guidelines shall specify whether the peer committee is the same as the school committee or whether someone can serve on both the school and peer committee. Except when the candidate undergoing review is a collateral faculty member for promotion only, the peer committee shall be composed of tenured faculty only, primarily from the school, but there must also be tenured faculty representation from outside the school. If the candidate undergoing review is a collateral faculty member, the committee may include collateral faculty. In addition, student representation is required. The voting status for student members shall be specified in the school's guidelines.

The school committee shall notify the candidate of the peer committee, and the candidate shall have the right to challenge any member of the peer committee for cause. Such challenges must be made in writing to the school committee within five working days following the date the candidate is notified of the composition of the peer committee.

The peer committee shall conduct a substantive evaluation of the candidate's record, including accumulated student evaluations, individualized work plans developed in accordance with the Faculty Roles and Rewards Policy, prior reviews and written internal and external evaluations. Only the peer committee shall solicit and receive external evaluations. Evaluations may be solicited from both persons suggested by the candidate and persons suggested by the committee. The file shall list all persons solicited for letters and identify each person as either named by the candidate or named by the committee.

All solicited letters received must be included in the file. The guidelines of each school shall specify the details of the use of external evaluations in that unit's academic review process.

The peer committee shall add a written report of its proceedings to the candidate's file which shall include the numerical results of a secret ballot for or against recommending promotion and/or tenure personnel action and the rationale for the recommendation. The peer committee shall forward the file to the school promotion and tenure committee.

The Promotion Review Committee- School of Medicine, Inova Campus (section 5.1) serves as the sole peer review committee. There shall be 6 voting members.

Committee Process

- a. The Committee quorum will consist of at least four of the members at the informational meetings. All members will attend the evaluation and final meetings and will provide, in writing, a secret vote.***
- b. The Peer Committee will evaluate the candidate in four categories (credentials and experience, teaching, scholarship and service). The candidate will provide an updated copy of his/her curriculum vitae and the names and addresses of several individuals able to evaluate him/her with respect to each of the above categories.***
- c. A minimum of three committee meetings will be held: organization, evaluation, final. Members will be given specific charges or subcommittees will be appointed by the chair. Reports by members or subcommittees will be made in writing and presented to and discussed with the entire committee. The committee may require that additional information be sought. Sources of information shall be identified by name. The committee or a subcommittee may interview the department chair or his authorized representative and may interview any other faculty who might have information that would aid the committee in its deliberations. The purpose for such interviews is to obtain information on the areas to be evaluated and not to obtain opinions on the ultimate decision concerning promotion or tenure; those called by the committee will be apprised of this fact. The candidate will be offered the opportunity to appear in person before the final vote.***

All proceedings will be confidential and members of the committee are charged not to discuss the proceedings outside the committee meetings, before, during, or after the proceedings.

- d. The Peer Committee should examine various sources of input in order to evaluate the teaching performance of the candidate. This will include***

classroom, laboratory, continuing education and clinical teaching, where appropriate. It is important for the review committee to elicit from students their evaluations with respect to course content, and relevance as well as fairness of assignments and tests. Preparation, organization, communication and availability, and professional and ethical behavior will also be carefully evaluated. Former students are a valuable source of input for evaluating the teaching performance of a faculty member and the review committee should make every effort to contact previous students, housestaff, and advisees of the faculty member. The development of educational materials shall be considered in a like manner. Self-instructional packages, slide-tape packages, video tapes, computer-assisted instructional units, computerized videodisc materials, textbooks or chapters and other similar materials shall be evaluated and may be reviewed. Refereed materials (accepted by national educational organizations or professional groups or used at other schools of medicine) will be given greater credit.

While scholarship is a required component of the evaluation, teaching, and service responsibilities are the essential factors in consideration of candidates for promotion at the School of Medicine, Inova Campus. Service shall not substitute for teaching and scholarship

Detailed and specific evidence of effective teaching should be documented in the dossier, as discussed in section b. The division head, in consultation, with the candidate, shall provide the summary of teaching effectiveness. Wherever possible, evaluation should include evidence of performance of students taught by the candidate. Charts, graphs and portfolios may be included in the dossier appendix.

A faculty member who does not keep current with developing knowledge in their respective discipline will not be recommended for promotion. Evaluation by qualified individuals, indicating the quality and extent of the service rendered must be submitted as part of the dossier.

- e. The Peer Committee should contact the candidate's colleagues who are aware of the candidate's contributions to the educational programs of the School(s). If the candidate is responsible mainly for courses taught in other professional schools, responses from appropriate faculty in those schools should be obtained to these queries. Documentation from colleagues, students, and house staff will be sought.*

- f. With respect to scholarship, the review committee should solicit letters both from experts in the candidate's research field, who have known the candidate personally, and from several experts who have not been close professional*

associates of the candidate. (Professional associations include graduate and postgraduate affiliation.) External evaluations shall be an integral part of the review process. Two or more individuals from outside the Campus shall be selected by the Review Committee. These may include persons recommended by the candidate or the department chair. The candidate should make available upon request his/her entire file of publications. The review committee should keep a record of the names of individuals contacted (or attempts to contact them), and whether or not responses were obtained. Relevant dates should be noted. The committee must bear in mind that the letters of evaluation regarding the candidate's scholarship constitute a major component of the review process. Thus, every effort must be made to secure appropriate documentation. These letters of evaluation must be returned directly to the peer review committee and not seen by the chair or dean until the dossier has been elevated to their level for review.

7.22 School Promotion and Tenure Committee Evaluation

The school promotion and tenure committee shall receive the file from the peer committee and review the file using the guidelines of the school as a reference. The committee shall review all prior recommendations and enter a written report of its proceedings including the numerical results of a secret vote for or against recommending promotion and/or tenure and the rationale for the recommendation. The file shall be forwarded to the dean.

8.0 Administrative Review Procedures for Academic Personnel Actions

8.1 The Dean

The Inova Campus Associate Dean shall review recommendations for appointments and promotions and forward the recommendations to the School of Medicine Dean, advising on the adequacy of the criteria and adherence to procedures followed by the school.

After receiving a file, the dean shall review the file and add a recommendation addressing the fiscal and programmatic impact of the proposed academic personnel action on the school and forward the original file to the appropriate vice-president, either vice president for academic affairs or vice president for health sciences. A copy of the file, complete with all reviews and recommendations, shall be given to the candidate.

If the recommendation is not supported by either the peer committee, the chair of the department, or the school tenure and promotion committee, then the dean has the option of returning the file, no more than once, to those review bodies that did not support the proposed personnel action and request reconsideration.

When promotion and/or tenure is not recommended, the dean shall inform the candidate of this decision. At this time the dean shall also give the candidate a copy of the file, complete with all reviews and recommendations, and notify the candidate of the right to add a written statement to be included in the file. The candidate has 10 working days after notification by the dean to add a statement to the file.

The dean shall forward the original file, containing the candidate's written response and all recommendations and letters to the appropriate vice president.

8.2 The Vice President

The appropriate vice-president, either the vice president for academic affairs or the vice president for health sciences, shall receive and review files and add a recommendation addressing the University fiscal and long range planning impact of the proposed academic personnel action.

If the administrative review of the vice-president supports promotion and/or tenure, the vice-president shall forward the original complete file to the president with that recommendation.

If the administrative review of the vice-president does not support promotion and/or tenure, the vice-president shall inform the candidate of the decision in writing and notify the candidate of his or her right to appeal to the University Appeal Committee. The candidate has 15 working days from notification to appeal the decision of the vice-president. The candidate initiates an appeal by sending a letter to the University Appeal Committee indicating where and how he/she believes the review process has erred.

9.0 Appeal Process

9.1 The University Appeal Committee

The University Appeal Committee shall receive all appeals. The Committee shall contact those review bodies identified in the denial and extend to them the opportunity to respond to the appeal in writing and/or at a scheduled meeting of the Appeal Committee. The candidate may attend all open meetings of the Appeal Committee and may be accompanied by one nonparticipating advisor.

The candidate shall have the right to address the Appeal Committee. Such presentations shall be limited in scope to the specific errors in procedure or judgment alleged in the appeal. New subject areas, not addressed in the appeal, may not be introduced.

The Appeal Committee may decide that it needs limited additional information or testimony and may call appropriate witnesses. It shall confine any such hearings to those questions or issues specified in the appeal.

After reviewing the record and hearing testimony, the University Appeal Committee shall take one of the following actions and shall forward its recommendation to the president.

- a. Vote to support the appellant. When the Appeal Committee votes to support the appellant, the Committee shall forward the file to the president with a letter describing their recommendation with copies to the appellant, the vice-president and the dean. The letter shall include a rationale for the decision and the number of committee members voting for and against the decision.
- b. Vote to deny the appeal. When the Appeal Committee votes to deny any appeal, the Committee shall forward the file to the president with a letter describing their recommendation with copies to the appellant, the vice-president and the dean. The letter shall include a rationale for the decision and the number of committee members voting for and against the decision. In the event of a tie vote the appeal is considered denied.
- c. Decide that the candidate's file should be reconsidered at a prior level of review and remand it to the dean for reconsideration. The Appeal Committee may direct the

formation of a new peer committee using the processes specified in section 7.11 or 7.21. When a new peer committee is ordered or when the addition or deletion of material has altered the file, the file shall go through all previous review steps including new internal letters from all review bodies. New material may be added to the file only by this option.

10.0 The President and Board of Visitors

The president is authorized to recommend faculty promotions and conferral of tenure to the Board of Visitors. Promotion and tenure of the faculty are made under the ultimate authority and with the final approval of the Board of Visitors. (1.4).

When the president does not support the recommendation of a faculty member for promotion and/or tenure, the president shall notify the Board of Visitors, the candidate, the vice president and the dean of this decision in writing. If the president does not support a recommendation for promotion and/or tenure, no further appeal exists within the University.

If the president recommends a faculty member for promotion and/or tenure to the Board of Visitors and the Board of Visitors does not support the recommendation, the president shall notify the candidate, the vice president and the dean of this decision in writing. If the Board of Visitors does not support the recommendation of a faculty member for promotion and/or tenure, no further appeals exist within the University.

11.0 Procedure for Termination of Employment of Tenured Faculty Members

This section does not apply to Inova Campus Faculty

11.1 Reasons for Dismissal

This section does not apply to Inova Campus Faculty

11.2 Post-Tenure Review

This section does not apply to Inova Campus Faculty

11.21 Post-Tenure Review Panel

This section does not apply to Inova Campus Faculty

11.22 Information for the Review

This section does not apply to Inova Campus Faculty

11.23 Assessment of Annual Evaluation

This section does not apply to Inova Campus Faculty

11.24 Improvement Plan

This section does not apply to Inova Campus Faculty

11.25 Assessing the Improvement Plan

This section does not apply to Inova Campus Faculty

11.3 Dismissal for Cause Procedures

This section does not apply to Inova Campus Faculty

11.4 Dismissal for Financial Emergency, Reorganization and Termination of Programs

This section does not apply to Inova Campus Faculty

11.5 Compensation

This section does not apply to Inova Campus Faculty

12.0 Procedures for Review and Amendment of this Document

Changes in the Faculty Promotion and Tenure Policies and Procedures may be initiated at the request of the president, the Faculty Senate, the University Council or upon petition by 20% of the tenured and tenure-eligible faculty. Upon such a request, the president shall appoint an ad hoc faculty committee to review issues and recommendations regarding appointment, promotion and tenure policies and procedures and, if necessary, to recommend modifications.

Consideration of changes which involve the School of Medicine, Inova Campus Guidelines (italicized sections only) may be initiated at the request of the president, relevant vice president, Inova associate dean, school of medicine dean, an Executive Committee of the Faculty, which includes the Inova Campus deans and department chairs or twenty (20) percent of the full-time faculty.

An ad hoc committee to consider the proposed changes and to make recommendations on these and any other changes will be appointed by the School of Medicine Inova associate dean. Any changes require the approval of a majority of the Inova voting faculty and the University Promotions and Tenure Committee.

Any members of the University community may raise issues or recommend review of these policies and procedures. They should address such requests to the University president who shall refer them to the Faculty Senate and University Council. Any changes in the Faculty Promotion and Tenure Policies and Procedures of Virginia Commonwealth University shall take effect only after review through the University governance system.

^{1.} The term 'school' will be used throughout the document to refer to school, college, or major academic unit such as the library.

^{2.} Faculty Roles and Rewards Policy, approved by the Board of Visitors, November 1993.

Approved by the Board of Visitors: September 24, 1981 Effective Date: September 24, 1981. Revision approved by Board of Visitors: January 17, 1985.

Revision approved by Board of Visitors: November 19, 1987 Effective Date: July 1, 1988.

Revision approved by Board of Visitors: January 20, 1993 Effective Date: July 1, 1993.

Revision approved by Board of Visitors: September 19, 1996 Effective Date: July 1, 1997

Revision approved by Board of Visitors: May 16, 2003 Effective Date: May 16, 2003

Revision approved by Board of Visitors: November 11, 2004 Effective Date: November

11, 2004 Revision approved by Board of Visitors: May 19, 2006 Effective Date: May 19, 2006

Revision approved by School of Medicine, Northern Virginia Division, Inova Campus May 1, 2008

Revision approved by University Promotion and Tenure Policy Committee
May 12, 2008

Effective Date May 12, 2008

APPENDIX I

Timetable for Promotion Activities

Dean notifies Chair of impending promotion review on or before May 1

*Chair and/or Inova Campus Dean prepare requested Dossier materials and provide to
Promotion and Tenure Committee May-July*

*Inova Campus Promotion and Tenure Committee convenes and holds at least three
meetings August--October*

*Report of Inova Campus promotion and tenure committee
submitted to the Inova Campus Dean's Office on/or before November 15*

*File, with Inova Campus Dean's letter, submitted to VCU Dean on or before
December 15*

File, with VCU Dean's letter submitted to Vice President's Office around February 1

*Reviewed and Approved by May VCU Board of Visitors to be effective July 1
Candidates are notified by a letter from the President to their home address after the
May VCU BOV meeting*

APPENDIX II

External Affiliate Faculty appointments will be considered for professionals not already employed by VCU. Examples include professional practitioners who provide direct supervision/field instruction to students during practicum and clinical experiences in community-based agencies, clinics, and private offices. Faculty holding external affiliate status, with appropriate qualifications and with the consent of the affiliated department or unit, may be authorized to teach and direct Master's and Doctoral theses in the affiliated department, to be listed on the faculty of the affiliated department and serve on its committees. External Affiliate Faculty may not chair dissertation committees.

Affiliate Faculty are assigned one of the following faculty ranks. When appropriate to the duties assigned, modifiers (for example, "Clinical Professor" or "Research Associate Professor" may be used.

Affiliate faculty are defined as unpaid by VCU. Faculty in this group shall be identified as Clinical Professor, Inova Teaching Faculty, Associate Clinical Professor, Inova Teaching Faculty, Assistant Clinical Professor, Inova Teaching Faculty and Clinical Instructor, Inova Teaching Faculty.

Initial Affiliate Faculty appointments must be recommended and approved by the department chair, dean, and either the Provost and Vice President for Academic Affairs or the Vice President for Health Sciences. If approved by the appropriate Vice President, the Dean or Department Chair submits a letter to the candidate formalizing the affiliate appointment subject to approval by the University's Board of Visitors.

Affiliate Faculty appointments may be either for a fixed period of time or for a continuing period of time. Continuing appointments remain valid until terminated or rescinded. Initial appointments, reappointments and terminations are subject to approval by the University's Board of Visitors.

Taken from the VCU Affiliate Faculty Appointments Policy and Procedures approved in May 2006. (<http://www.toolkit.vcu.edu/affiliatefacultyappts.pdf>)

