

**VIRGINIA COMMONWEALTH UNIVERSITY
AND
SCHOOL OF MEDICINE**

**FACULTY PROMOTION AND TENURE
POLICY AND PROCEDURES**

**Revision approved by
School of Medicine and
University Promotion and Tenure Policy Review Committee
Effective April 16, 2009**

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(Text Code)

SOM additive language in italics

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 that 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 Policy.² 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.

- a. Appropriate credentials and experience.
- b. Demonstrated quality in teaching.
- c. Demonstrated continuing scholarship and professional growth.
- d. 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 departmental and/or school guidelines shall amplify the general criteria of the University.

Additional special criteria unique to a given department and/or school are encouraged.

Each department of the School of Medicine (SOM) is expected to develop and sustain an outstanding faculty actively engaged in teaching, scholarship, and service. Where departmental guidelines have been created, they may amplify but not contradict this document.

The individual departmental and/or school guidelines shall designate the relative weight assigned to the various criteria.

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.

2.31 School of Medicine Criteria: General

Promotion in the SOM is dependent upon continuing achievement in teaching, scholarly activity, and service. Faculty should receive written guidelines from their department chair that delineate the proportion of their efforts in each of these areas. Chairs and faculty should review the allocation of the faculty member's effort at least annually, in writing, and submit these documents to the departmental peer review committee with the promotion and tenure materials. In addition, all faculty are expected to adhere to standards of professionalism as outlined in the SOM and Health System policies and procedures.

a. Academic Credentials and Experience

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

b. Teaching

Teaching includes formal lectures, small-group education and one-to-one instruction as well as teaching through the internet, websites, and other technology. The development, implementation, and assessment of new teaching materials, course designs, and new technologies to promote learning are important contributions to teaching. Teaching may occur in the SOM, health system, community, through professional organizations, and in other settings.

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 to students, staff, patients, professionals, and the public.

c. Scholarly Activity

This includes peer-reviewed contributions in basic, clinical and/or educational scholarship. The SOM recognizes the expanded definition of scholarship proposed by Boyer and colleagues that includes:

- *The scholarship of **discovery** that advances new knowledge in a discipline.*
- *The scholarship of **integration** that makes connections between new knowledge across disciplines such as translational and interdisciplinary research.*
- *The scholarship of **application** which takes the outcome of new knowledge to socially consequential problems such as outcomes research, clinical guidelines, diagnostic or treatment response criteria, and the creation of new or innovative quality improvement programs or methods based on the outcomes of empirical research.*

- *The scholarship of **teaching and learning** which explores ways to help students acquire new knowledge and develops specific skills and attitudes such as the creation or evaluation of new teaching methods or curriculum and the use of new technologies to improve learning or the dissemination of learning*

(Boyer EL. Scholarship Reconsidered. The Carnegie Foundation for the Advancement of Teaching, 1990)

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.

d. *Service*

Clinical Activities

Faculty with health care responsibilities shall be evaluated for excellence in the care of patients, and contributions to improvements in systems of care as measured by the quality, quantity, collaboration, innovation, as well as diagnostic and/or therapeutic expertise. The impact of the faculty member's contributions will be documented by evaluations from professional colleagues within and without the institution, students, housestaff, and patients. Attitude toward patients shall be evaluated by inquiries of clinical peers as well as patient satisfaction questionnaires, if available.

General Service

The quantity and quality of the candidate's service to the department, SOM, health system, university, 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. Membership on key committees in the SOM or health system such as the MCV Physicians Board, Institutional Review Board (IRB), SOM Admissions Committee, Institutional Animal Care and Use Committee (IACUC) are examples of excellent service.

e. *Timetable for Promotion and Tenure Decision Activities (See Appendix I).*

2.32 School of Medicine Criteria By Academic Rank: Tenure, Tenure-Eligible, and Non-Tenure

a. *Instructor*

An individual who has attained the basic 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 should have:

- (1) the highest appropriate degree in a specific discipline or field*
- (2) demonstrated professional competence in a specific discipline or field*
- (3) demonstrated potential for teaching, service, and scholarship. Review by a departmental committee is not required for promotion from instructor to assistant professor. The chair must submit the candidate's curriculum vitae, bibliography, faculty data sheet, and documentation that all of the requirements listed above have been met satisfactorily to the dean.*

c. *Associate Professor*

(1) General

The performance of the candidate should indicate a sustained record of professional achievements in teaching, scholarship, and service. A positive recommendation for promotion to associate professor (and tenure, if appropriate) should be made when the candidate meets each of the following conditions:

- (a) satisfactory or better on all criteria,*
- (b) very good or excellent on at least two of the following criteria: teaching scholarship and service. For non-tenure track faculty, whose special mix of duties allows minimal effort (10% or less) in a criteria, a rating of satisfactory will be sufficient in that area.*
- (c) excellent in either teaching or scholarship or, for non-tenure track faculty with a majority of effort designated in service, excellence in service.*

Examples of satisfactory and excellent performance are provided in Appendix III. Although candidates must achieve a balance between teaching, scholarship and service, the apportionment of teaching, scholarship and service responsibilities should be given consideration in the overall assessment.

(2) Academic Credentials and Experience

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

(3) Teaching

The candidate should demonstrate contributions in teaching at a local or regional level including contributions to courses, curriculum design, implementation, or assessment, teaching in the clinical setting, continuing medical education or teaching through professional organizations or health care groups. The candidate should have successfully served as a mentor or advisor of students, housestaff, colleagues, or postdoctoral trainees

(4) *Scholarship*

The candidate should demonstrate maturity and professional competence in independent scholarship or as a leader in collaborative research that should lead to publication of new knowledge. Publications in refereed journals, books and book chapters, sustained for a number of years, will be used as a guideline for measuring scholarly achievement and growth.

For faculty whose major contribution is in research, 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.

(5) *Service*

The candidate is expected to demonstrate creative contributions in administrative and/or clinical service to the SOM, health system, community and profession as outlined under the general guidelines above.

d. *Professor*(1) *General*

Promotion to the rank of Professor (and tenure, if appropriate) is based upon continued achievements in teaching, service, and scholarship, with national and international recognition in at least one of these areas.

- (a) satisfactory or better on all criteria,*
- (b) very good or excellent on at least two of the following criteria: teaching, scholarship and service. For non-tenure track faculty, whose special mix of duties allows minimal effort (10% or less) in a criteria, a rating of satisfactory will be sufficient in that area.*
- (c) excellent in either teaching or scholarship, or for non-tenure track faculty with a majority of effort designated in service, excellence in service.*

Examples of satisfactory and excellent performance are provided in Appendix III. Although candidates must achieve a balance between teaching, scholarship and service, the apportionment of teaching, scholarship and service responsibilities should be given consideration in the overall assessment.

(2) *Academic Credentials and Experience*

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

(3) *Teaching*

Continued contributions to improvements and innovation in teaching. The candidate should have successfully served as the mentor or advisor of students, housestaff, colleagues, and/or postdoctoral trainees. Examples of national recognition for teaching include editing or writing a textbook, being an invited speaker at national meetings, national awards, publications, lectures or consulting, national impact on teaching methods or assessment, national funding of training grants or instructional programs, participation in national or

international committees that develop educational programs or credentialing or certifying examinations.

(4) *Scholarship*

The candidate should have demonstrated a sustained pattern of research productivity (and/or funding). The candidate's publication record should be distinguished by originality and creativity, including peer-reviewed articles in journals, reviews and book chapters. Funding for research efforts, service to national study sections, review committees or invitation 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.

The candidate should have demonstrated an appropriate degree of collaboration 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.

National recognition of scholarship must be corroborated by external scientists of outstanding reputation.

(5) *Service*

The candidate should demonstrate continued contributions in administrative and clinical service and assumed a leadership role in the SOM, health system, community, and/or at a national level. The candidate should actively participate in his or her profession outside of the university. National recognition of service includes awards, publications, lectures, consulting, adoption of new clinical or administrative programs or processes at a national level and participation in national committees, programs, or panels relating to health care or academic medicine.

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:

- a. At least three months prior to the expiration of the appointment during the first year at the University;
- b. At least six months prior to the expiration of the appointment during the second consecutive year at the University;
- c. At least 12 months prior to the expiration of the appointment after two consecutive years at the University.

The total period of appointment at the instructor rank shall not exceed seven years.

3.1 Tenured Appointments

A tenured appointment is an appointment that continues until the faculty member either voluntarily leaves the University or is dismissed for cause as specified in Section 11.

Tenure is conferred by criteria and procedures established by this document and supplemented by appropriate school and department guidelines. Tenure is granted only at the rank of associate professor or professor.

Tenure is conferred based on the faculty member's demonstrated capabilities, academic achievement and the University's anticipated long-term academic needs.

A recommendation for a tenured appointment is initiated only by an academic unit of a degree-granting school or college. Typically, recommendations for tenured appointments are initiated in a department of a school, but in schools where recommendations for academic personnel actions are initiated at the school level, recommendations for tenured appointments are initiated at the school level.

The guidelines for each academic unit where recommendations for tenured appointments are initiated shall specify written criteria and standards for recommending tenure in that unit. These criteria shall assure that recommendations are based on a record of effectiveness in teaching, scholarship appropriate to the discipline, professional growth and service to the University, the profession or the public. These guidelines shall also specify each unit's procedures for consultation with external evaluators and how the use of external evaluators is reported to the candidate. External evaluators shall be at a rank equal to or higher than the rank for which the candidate is being reviewed.

3.2 Probationary (Tenure-Eligible) Appointments

Probationary appointments are granted to faculty members with suitable preparation and experience who are appointed in positions identified by the department and/or school as appropriate for tenured faculty.

The maximum period of probationary service of an assistant professor is six academic years. At the end of this six-year period, the faculty member must be given an appointment with tenure or a one-year terminal appointment.

An initial appointment at the rank of professor or associate professor may also be a probationary appointment. The maximum period of probationary service is two years as a professor and three years as an associate professor. At the end of these periods, the faculty member must be given an appointment with tenure or a one-year terminal appointment.

Instructors promoted to the rank of assistant professor may become probationary (tenure-eligible) faculty members. The unit guidelines shall specify how the faculty shall participate in the decision for this promotion.

An appointment at the full professorial, or in exceptional cases, at the associate professorial rank, may be with tenure if the candidate is currently tenured at an institution of higher education comparable to Virginia Commonwealth University. In such instances, the Search Committee may function as a Tenure Review Committee. The recommendation for tenure by the Tenure Review Committee shall be submitted to the School Committee, Dean/Vice President, President and Board of Visitors for approvals.

Once appointed, tenure-eligible faculty may request transfer to a collateral position. This action is equivalent to resigning the tenure-eligible position. Requests for a change in position shall be addressed to the department chair. The chair, if approving, shall endorse requests by letters to the dean stating the service or services required of collateral candidates and the terms of the appointment. Approval of the request and its terms by the dean and vice president for health sciences is required. Return to the tenure-eligible position is described in Sect. 3.3.

3.21 Alterations of the Probationary Period.

Any alteration in the normal six-year probationary appointment period shall require the concurrence of the dean, the departmental chair if academic personnel actions are initiated at this level and the individual concerned. All modifications of the normal probationary period shall be entered in writing in the faculty member's personnel file. Factors that may be taken into account at the time of the initial appointment in establishing the length of the probationary period may include:

- a. Prior service at an academic institution at the rank of assistant professor or above;
- b. Prior service in a discipline unrelated to the present appointment, with the approval of the vice-president;
- c. Prior service while a candidate for a doctoral or equivalent terminal degree at any institution; or
- d. Time spent on leave of absence.

Modification in the normal six-year probationary period of a faculty member appointed at the rank of assistant professor may not exceed three years.

A tenure-eligible faculty member may request an extension of the probationary period where extenuating nonprofessional circumstances are projected to impede significantly normal progress. Such circumstances might include but are not limited to childbirth, adoption, care of terminally ill immediate relative or personal trauma *or other reasons at the discretion of the Dean of the SOM.* Application for extensions must be made within one year of the onset of the extenuating

circumstances through the unit and require approval of the dean and the appropriate vice president, either vice president for academic affairs or vice president for health sciences.

The total period of a probationary tenure-eligible appointment plus a one-year terminal appointment shall not exceed seven years of full-time service exclusive of extensions for leave or extenuating circumstances described above.

A tenure-eligible faculty member on a probationary appointment may transfer to a collateral appointment during enrollment in a University degree program with the concurrence of the vice-president, dean, the departmental chair where the academic personnel action is initiated and the individual concerned. This transfer suspends the period of probationary service, but the faculty member retains other rights of the tenure-eligible appointment including review, the right to timely notice, and a terminal period as provided in 3.21, 3.22 and 3.23.

3.22 Evaluation of Probation

Probationary appointments at the rank of assistant professor shall be reviewed periodically by the academic unit where personnel actions are initiated. The guidelines for each such unit shall specify how this review shall be conducted and the criteria to be used to evaluate progress toward tenure. The guidelines shall specify the frequency of the review(s), how the individual work plan developed in accordance with the Faculty Roles and Rewards Policy shall be incorporated into the review process and how the candidate shall be informed regarding progress toward meeting the standards and criteria for tenure in that unit. The guidelines shall specify the voting rights of the faculty regarding continued probation, terminal reappointment or a recommendation to grant tenure.

The departmental chair, the reviewing faculty of the department or the candidate may request a review for a recommendation to grant tenure. A faculty member may be reviewed for tenure once before the normal review occurring at the end of the probationary period. Faculty members reviewed for tenure before the end of their full probationary period shall not be subject to any extraordinary requirements and shall be required to meet the same standards required of them at the end of the full probationary period.

A decision to terminate a probationary appointment may be made during any year of the probationary period and need not wait until the end of the normal probationary period.

3.23 Linkage

Tenure-eligible assistant professors shall be reviewed in one process, with both promotion and tenure awarded or denied in a single decision.

Tenure-eligible associate professors may be reviewed for tenure alone or for promotion and tenure simultaneously. A decision to deny a promotion does not preclude a decision to award tenure.

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. A collateral faculty member is eligible to apply for a tenured or probationary (tenure-eligible) appointment upon termination of an existing collateral 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.

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 the appointment period.

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.

Transfer from Non-tenure Eligible to Tenure-Eligible Faculty. If a non-tenure eligible faculty member transfers to the tenure-eligible track upon request by the departmental chair and written consent of the Dean and Vice President, time spent as a collateral faculty member is not included in the probationary period for tenure appraisal. Accomplishments as a collateral faculty member should be considered.

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.

Re-appointment of unpaid part-time faculty will be conditioned on continuing teaching and service to the school as judged by the department chair. The unpaid part-time faculty ranks need only be reviewed to the vice-presidential level (including the School Promotion and Tenure Committee) before going to the Board of Visitors.

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, and 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. *Tenured faculty with joint appointments with non-university agencies need no further tenure review if a School of Medicine tenured faculty member employed at a non-university agency becomes a full-time employee of MCV/VCU.*

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 the personnel files. All school reviews shall 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 appointment, 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.

5.11 School of Medicine Promotion and Tenure Review Committee

Annually the Dean will prepare a slate of candidates for the School Promotion and Tenure Committee. This slate will be submitted to the faculty for approval with write-in candidates allowed. The majority of those voting will constitute approval of the slate. The School of Medicine Committee will consist of seven (7) professors. The chair and three other members will be tenure track faculty and the remaining three will be non-tenure track faculty. Members may not serve on any other tenure committee. The composition of the committee will be announced at the first faculty meeting of each school year. This committee will review all tenure and promotion recommendations. They review all of the data submitted by each tenure review committee, including the chair's letter of evaluation. Additional information may be requested from the chair, the Departmental Review Committee or from the candidate, if desired. The School Committee will make an independent recommendation to the dean regarding tenure and promotion for each faculty member it reviews.

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 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 departmental guidelines.

Committee Composition. An ad hoc review committee is formed by the department chair, in consultation with the dean, to review a faculty member for promotion or tenure or both. The ad hoc review committee will consist of a total of six (6) with at least two faculty members from within the department where possible, at least two faculty members outside the department or school and a student member (senior medical or graduate student or house officer) who serves with voice but does not vote; there are five voting members. If the candidate teaches primarily outside the School of Medicine then the outside faculty members and the student should be from the school(s) in which the candidate teaches. The dean may recommend suitable individuals to the candidate's chair. The faculty members of an ad hoc review committee must hold an academic rank the same as or higher than the rank proposed for the candidate. If a member of the ad hoc review committee believes that he/she cannot be impartial, he/she should withdraw immediately from the committee by notifying the dean, department chair, and chair of the ad hoc review committee in writing.

The chair shall notify the candidate in writing 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.

Ideally, the candidate and the department chair (in consultation with the dean) will resolve any differences based upon challenges. If not, the School Grievance Committee will adjudicate the differences. Any challenges submitted in writing will be returned to the candidate upon resolution of the committee structure. Potential committee members will not be notified until membership has been finalized.

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 that 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.

Committee Process

- a. *The committee quorum will consist of at least four of the members at the informational meetings, but all members must receive minutes of the meeting pertaining to the faculty member under review and respond to the Chairman prior to each subsequent meeting. All members will attend the final meeting and will provide, in writing, a secret vote.*
- b. *The ad hoc review 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, the names and addresses of several individuals able to evaluate him/her with respect to each of the above categories, and other relevant documentation such as a teaching portfolio, personal statement, or publications that provide additional information about professional accomplishments in each category relevant to the candidate's mix of duties.*
- 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 ad hoc review 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 ad hoc 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 ad hoc 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.*
- e. *The ad hoc 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 housestaff will be sought.*
- f. *With respect to scholarship, the ad hoc 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 association entails graduate and postgraduate affiliation.) External evaluations shall be an integral part of the review process. Two or more individuals from outside the University shall be selected by the Departmental Review Committee. These may include persons recommended by the candidate or the department chair. Although the ad hoc review committee prepares the initial list of potential research referees in consultation with the candidate, the ad hoc committee shall subsequently enlarge this list. In all instances of scholarship evaluation, the ad hoc committee will have the ultimate right to select all referees. The candidate should make available upon request his/her entire file of publications. He/she should, in any case, submit three to five for scrutiny by the ad hoc review committee and the referees. The ad hoc 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 research constitute a major component of the review process. Thus, every effort must be made to secure appropriate documentation. Although it is difficult to assign a fixed number of letters obtained, the ad hoc review committee should solicit at least five informative letters.*

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. The peer committee shall include tenured faculty from the school, but also include tenured faculty representation from outside the school. 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 that 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.

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

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 fifteen 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 this file by only 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

11.1 Reasons for Dismissal

Tenure is designed to protect the academic freedom of individual faculty members who have established themselves during probationary periods. Tenured faculty are expected to continue to strive for excellence in all of their academic and scholarly tasks. Adequate reason for dismissal of a tenured faculty member may be established by a demonstration of any of the following:

- a. Neglect, inability or failure to do the normal and expected satisfactory teaching, research and other services within the areas of presumed professional competence.
- b. Professional incompetence that includes failure to continue scholarly development within the individual's discipline and failure to fulfill University assignments.
- c. Moral turpitude.
- d. Violation of academic or professional ethics.
- e. Unprofessional conduct that significantly adversely affects the functioning of the department, school or University.
- f. Violation of the Virginia Commonwealth University Rules and Procedures, as adopted by the Board of Visitors, provided the faculty member has been found guilty of an offense and a penalty for separation has been assessed pursuant to the Rules and Procedures.
- g. *Bona fide* financial emergency in a department, school or reorganization or termination of programs as defined by established University policies and procedures.³

11.2 Post-Tenure Review

In accordance with 3.4 above, all tenured faculty, including administrative faculty, are evaluated annually, using the established guidelines of their school and/or department. The annual evaluation examines the faculty member's performance in light of his or her expected contribution to the unit as established previously using the university's Roles and Rewards Policy. The annual evaluation is the core of the university's ongoing post-tenure review process, and it should contain a summary rating of excellent, very good, satisfactory, needs improvement or unsatisfactory. On this scale, the appropriate rating for a tenured faculty member whose overall

performance in previous years has been “satisfactory” or better, but whose current overall performance is not satisfactory, is “needs improvement.” If a faculty member’s previous overall performance was rated “needs improvement” and the current overall performance has not met the conditions for improvement, the appropriate rating is “unsatisfactory.”

11.21 Post-Tenure Review Panel

When a tenured faculty member receives one over-all unsatisfactory annual evaluation, a five member panel of tenured faculty members (at least two of whom are from the faculty member’s department and at least one of whom is from another department) will be appointed to conduct a thorough review of the faculty member’s performance. Within 15 working days of notification of a panel review, the faculty member and the chair of the department (or the dean where annual review is conducted at the school level) shall each submit lists of five possible panel members to the school’s promotion and tenure committee, which will appoint the committee. The chair of the school promotion and tenure committee will notify in writing the faculty member, the chair of the department and the dean of the proposed panel. Both the faculty member and the department chair (or the dean when annual evaluations are conducted at the school level) shall have the right to challenge any member of the panel for cause. Such challenges must be made in writing to the chair of the school promotion and tenure committee within 5 working days following notification of the proposed panel. The school promotion and tenure committee shall make the final decision on panel composition.

11.22 Information for the Review

The chair, and/or the dean, and the faculty member must supply the panel all information pertinent to its task in no more than 20 working days after the appointment of the panel. The information shall include such items as the department’s workload policy, any written agreement about the faculty member’s role and performance expectations under the university’s Roles and Rewards Policy, all annual evaluations and supporting documentation for the period in question, and the faculty member’s current vita and statement of activities since the most recent annual evaluation. The chair and/or dean and the faculty member shall have full access to all of the submitted information and an opportunity to comment on or rebut any of the information within 5 working days of being notified that the panel’s information is completed. During the panel’s deliberations, it has the right to call for testimony from anyone pertinent to the issues, and the chair and/or dean and the faculty member shall have full access to whatever testimony is gathered with ample opportunity to comment on or rebut the testimony.

11.23 Assessment of Annual Evaluation

The panel first evaluates the faculty member's performance in light of his or her role in the department. If the panel finds that the faculty member's performance was, in fact, satisfactory during the period in question, it shall issue a report to the chair and the dean delineating the reasons for its conclusion. The review is thus concluded. The dean shall monitor the chair's annual evaluations of the faculty member for the next two years and the panel's report will be used in the dean's evaluation of the chair's performance. Where the annual evaluation is conducted by the dean, the dean's annual evaluations of the faculty member will be monitored by the appropriate vice president and the panel's report will be used by the vice president in evaluations of the dean's performance.

11.24 Improvement Plan

If the panel concludes that the faculty member's performance was unsatisfactory during the period in question, the panel, in conjunction with the chair and/or dean and the faculty member will elaborate a two-year improvement plan intended to aid the faculty member to return to a satisfactory level of performance.

11.25 Assessing the Improvement Plan

At the end of the first year of the improvement plan, the panel will either recommend continuation of the plan through the second year, modification of the plan, or if it is evident that no progress has been made toward improvement, it shall recommend to the chair and/or dean that they initiate dismissal for cause.

At the end of the two-year plan, the panel will reconvene and again conduct a review of the faculty member's performance, using the provisions of the improvement plan and all information pertinent to the faculty member's performance during the period of the plan. If it finds that the faculty member's performance has been satisfactory, it reports its findings to the chair and the dean, and the review is complete. If the panel finds that the faculty member's performance has been unsatisfactory, it shall recommend to the chair and/or dean that they initiate proceedings for dismissal based on causes (a) or (b) as detailed in Section 11.1

11.3 Dismissal for Cause Procedures

To initiate the termination of a tenured faculty member for just cause, the dean shall inform the faculty member and the appropriate vice-president, vice president for academic affairs or vice president for health sciences, in writing of the proposed termination, the specific reasons for it and the effective date of termination. The dean must also inform the faculty member that a request for a hearing of the case by the University Appeal Committee must be initiated within 45 working days. In the absence of such a request, the dean's action becomes final.

The University Appeal Committee shall begin all requested hearings within 30 working days following receipt of a faculty member's request. At least two-thirds of the Committee must be present at each meeting.

The faculty member shall have the opportunity to attend all meetings of the Committee where evidence is received or witnesses are heard. The faculty member shall have the opportunity to cross-examine witnesses, to present evidence and may be accompanied by one nonparticipating advisor.

A complete record of the hearing shall be maintained and available to the parties involved. The hearing shall be closed to the public, except upon mutual agreement by the faculty member, the dean and the vice-president.

The University Appeal Committee shall submit a completed written report to the appropriate vice-president, within 30 working days after conclusion of the hearings. If two or more Committee members dissent with the majority report, they must submit a written minority report concurrently.

The vice-president shall review the University Appeal Committee's findings and recommendations and convey a decision with a rationale in writing to the faculty member and to the University Appeal Committee within 10 working days. If the decision is for dismissal, they shall also inform the president.

The president upon written request shall review a decision for dismissal of the faculty member. However, unless the request is made within 15 working days after the vice-president has rendered a decision, the vice-president's decision shall be final and not subject to appeal further or review.

If a review by the president is requested within the 15 working day period, the president shall review the full record of the University Appeal Committee hearing, the Committee's findings and recommendations and the vice-president's decision and rationale before rendering a decision. The president's decision is final and not subject to review within the University further.

11.4 Dismissal for Financial Emergency, Reorganization and Termination of Programs

The termination of a tenured faculty appointment because of financial emergency or reorganization or termination of programs must follow established University policies and procedures. Such procedures shall protect the tenure rights of the individual faculty member and must include due process and faculty participation.

11.5 Compensation

Tenured faculty members who are terminated according to policies and procedures governing financial emergency, reorganization, and termination of programs have the right to receive their contractual university salaries for one year from the date of notification of dismissal, except that compensation ends upon commencement of full-time employment elsewhere. If the one-year period expires during an academic semester, the vice-president may extend the employment to the end of the semester. Faculty members receiving compensation under these provisions may be required to perform for the University their regular services or services other than those which they have ordinarily performed so long as these services are professional in nature and appropriate to their educational experience and background.

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 that involve the School of Medicine Guidelines (italicized sections only) may be initiated at the request of the dean, the Executive Committee or twenty (20) percent of the tenured and tenure-eligible 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 dean. Any changes require the approval of a majority of the voting faculty (see School of Medicine Bylaws) and the University Promotions and Tenure Review 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.

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 University Promotion and Tenure Policy Review Committee

Effective Date: March 29, 2004

Revision approved by School of Medicine and University Promotion and Tenure Policy Review Committee

Effective Date: April 16, 2009.

¹ The term A School will be used throughout the document to refer to a school, college, or major academic unit such as the library.

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

³ Procedures for Declaration of Financial Emergency and Consequent Reduction, Reorganization, or Elimination of Programs Requiring Termination of Faculty Members, approved by the Board of Visitors, July 21, 1983.

APPENDIX I

Timetable for Promotion and Tenure Decision Activities

*Dean notified Chairman of impending
tenure or promotion review on or before May 1*

*Departmental Tenure and/or Promotion
Committee constituted on/or before July 15*

*Dean approval of committees returned
to departments on/or before July 30*

*Report of departmental committee and Chairman
submitted to the Dean's Office on/or before November 1*

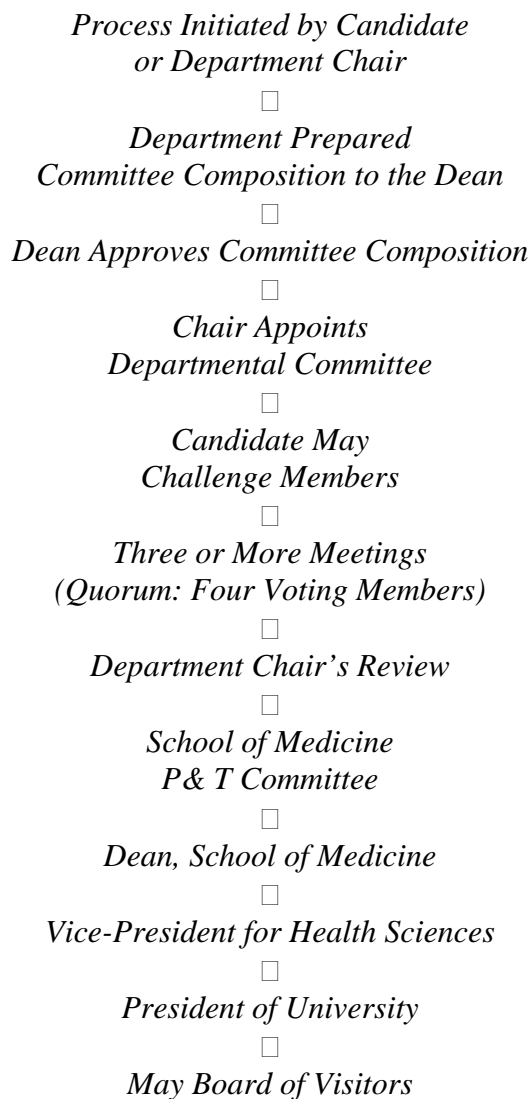
*Report of the School of Medicine
Promotion and Tenure Committee
submitted to the Dean's Office on/or before January 15*

*File, with 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

Flow Chart for Promotion and Tenure Activities

APPENDIX III

***Tables with Examples of Accomplishments to be Considered for
Promotion in Each Category***

These lists are not intended to be all inclusive. The number and types of contributions should be weighted by the faculty member's mix of duties. See pages 36-40.

Table 1: Scholarship: Examples of Accomplishments to be Considered for Promotion to Associate Professor and Professor.

Satisfactory at Either Associate Professor or Professor	Excellent for Promotion to Associate Professor	Excellent for Promotion to Professor
<ul style="list-style-type: none"> • Independence from postgraduate or fellowship mentor • Author on peer reviewed publication(s) of original research, editorial, review articles, case reports and other scholarly work • Significant role in clinical trials (evaluated by the number of trials, number of patients enrolled, impact of the trial) with or without authorship • Clinical collaboration with basic or clinical researchers on work that leads to new insights about clinical questions. • Abstracts and presentations about new techniques or clinical advancements at local, regional, or national meetings • Local and regional presentations about new teaching materials or techniques such as technical manuals, new course design, web based teaching, using new technology, and tools to assess learning • Development of trainee oriented educational programs and clinical manuals 	<ul style="list-style-type: none"> • Significant publication record as first or senior author in peer reviewed journals describing basic science, clinical, or educational research • Authorship on publications of the results of clinical trials • Author of book or book chapters • Collaboration in a funded multidisciplinary or multi institutional research group • Evidence of external funding and scholarly productivity • Ad hoc or regular reviewer for study sections or advisory panels • Service to academic journals as a reviewer or member of editorial board • Podium presentations at meetings of regional or national professional organizations • Membership and service to scholarly organizations • Regional awards and recognition for scholarship • Participation in the development of and/or authorship of clinical guidelines or diagnostic criteria • Participation in collaborative public health or clinical initiatives through local or regional organizations with published outcomes 	<p>Continued contributions as listed under Associate Professor and:</p> <ul style="list-style-type: none"> • Consistent pattern of federal funding and productivity as principal investigator • Significant publication record as first or senior author in top rated, peer reviewed journals about basic science, clinical, or educational research • Author or editor of book or textbook • Editor or member of editorial board of major journal or textbook • Member of permanent study sections or advisory panel • Principle investigator in a funded multidisciplinary or multi institutional research group • Awards and recognition for scholarship at a national level • Participation in the development of national clinical guidelines or diagnostic criteria • Participation in collaborative public health or clinical initiatives through national organizations such as patient advocacy groups or quality improvement groups with published outcomes • Coordinator of scientific program at national level

**This list is not intended to be all inclusive. The number and types of contributions should be weighted by the faculty member's mix of duties.*

Table 2: Teaching: Examples of Accomplishments to be Considered for Promotion to Associate Professor and Professor

Satisfactory at All Levels	Excellent for Promotion to Associate Professor	Excellent for Promotion to Professor
<ul style="list-style-type: none"> • Participation in teaching and preparation of course materials in the SOM, University, VCUHS, community, or CME activity • Satisfactory performance in medical and graduate student course lectures and other teaching in the SOM, health system, and community setting • Satisfactory performance reviews from students, housestaff, fellows, and faculty colleagues. • Leading review sessions, physical diagnosis sessions, or small group clinical learning sessions with at least satisfactory ratings for teaching • Presentations at departmental seminars, grand rounds, clinical conferences, departmental teaching conferences • Satisfactory research or clinical training of students or trainees including measures of impact on trainees – publication, job placement, etc. • Providing satisfactory clinical supervision and training • Satisfactory mentoring of students or trainees, • Participation in development of questions for national board or national certification examination • Serving as a member of an education, curriculum, thesis, or admissions committee • Overseeing and attending student and trainee 	<ul style="list-style-type: none"> • Publications about teaching including books and book chapters • Development and assessment of new teaching methods that are recognized and/or adopted regionally or nationally • Sustained excellent performance reviews for teaching, from students, housestaff, other trainees, and faculty colleagues • Sustained excellent performance in laboratory or other research training of graduate students and trainees with documented excellent outcomes (publications, job placement, etc.) • Sustained excellent performance as a course director for didactic courses, health system, SOM and CME courses • Significant contributions to teaching at regional or national levels • Leadership or course director for local or regional conference and CME events • Recognition for teaching excellence by receiving departmental, SOM, or regional teaching awards. • Receipt of external grants for education program improvement and innovation • Obtaining a funded training grant • Highly effective director of residency or fellowship training program • Committee member of education or workforce and training committee for regional or national professional organizations • Documented exceptional teaching skills as an 	<p>Continued contributions as listed under Associate Professor and:</p> <ul style="list-style-type: none"> • Editor or author of a textbook • Development and assessment of new teaching methods that are recognized and/or adopted nationally or internationally • Significant contributions to teaching at a national or international level • Leadership or course director for national or international conference or CME events • Sustained excellent performance reviews of teaching, from students, housestaff, and faculty colleagues • Recognition for teaching with national or international or university wide teaching awards. • Receipt of national grants for education program improvement and innovation • Writing a nationally funded training grant • Outstanding contributions as director of residency or fellowship training program • National role in development of teaching and learning assessment materials for trainees, such as educational programs and certification examinations • Chair of education or workforce and training committee for national or international professional organization • Chair of organizing committee for national or international CME or educational meetings of professional groups • Outstanding contribution to developing,

seminars or journal clubs

attending physician at or as a preceptor for resident ambulatory clinics or corresponding clinical settings

- *Outstanding contribution to developing, evaluating, and improving curriculum that is recognized regionally or nationally*
- *Member of organizing committee for regional or national meeting of professional groups*

evaluating, and improving curriculum that is nationally or internationally recognized

- *Invitations to consult and speak nationally on teaching or learning assessment*

**This list is not intended to be all inclusive. The number and types of contributions should be weighted by the faculty member's mix of duties.*

Table 3: **Service: Examples of Accomplishments to be Considered for Promotion to Associate Professor and Professor.**

Satisfactory at Either Associate Professor or Professor	Excellent for Promotion to Associate Professor	Excellent for Promotion to Professor
<ul style="list-style-type: none"> • Member of University, School, Health System, department, or division committees and other administrative service • Service to Profession and Discipline (Local, State, Regional) • Consultation and Public Service • Provides high quality clinical service • Respected as a medical consultant • Adherence to institutional performance standards 	<p>General</p> <ul style="list-style-type: none"> • Significant contributions on University, SOM, VCUHS, MCVP or departmental committees • Significant contributions to service to Profession and Discipline (State, Regional) such as member of <ul style="list-style-type: none"> ○ committee, of local, regional, or national professional organizations ○ data and safety monitoring board ○ grant review committee ○ study section • Member of key leadership committees that require a significant time commitment such as: <ul style="list-style-type: none"> ○ SOM Admissions ○ IRB ○ MCVP board ○ IACUC • Regional recognition of Service • Outstanding performance in professional pursuits that clearly makes one valuable to the SOM or health system • Outstanding administrative accomplishments such as the development, implementation, evaluation or management of specialized or essential programs or initiatives that are recognized regionally <p>Clinical</p> <ul style="list-style-type: none"> • Promoting excellent patient care through 	<p>Continued contributions as listed under Associate Professor and:</p> <p>General</p> <ul style="list-style-type: none"> • Chair of University, SOM, VCUHS, MCVH, MCVP, or department committees • Leadership in service to Profession and Discipline (National, International) such as <ul style="list-style-type: none"> ○ Committee chair, member of the BOD or Executive Committee of professional organizations or equivalent ○ Chair of data safety monitoring board ○ Chair, grant review committees, study sections • Member of key leadership committees that require a significant time commitment such as <ul style="list-style-type: none"> ○ SOM Admissions ○ IRB ○ MCVP board ○ IACUC • National recognition of service • Outstanding performance in professional pursuits that clearly makes one valuable to the SOM or health system • Leadership in the development, implementation, evaluation of outstanding administrative programs or initiatives that are nationally recognized <p>Clinical</p> <ul style="list-style-type: none"> • Leadership in the development of cutting

	<p><i>efforts to improve compliance with specialty specific outcome measures including regional or national patient safety goals, mortality rates, readmission rates, etc</i></p> <ul style="list-style-type: none"> • <i>Implementation of practice improvement measures</i> • <i>Innovation</i> • <i>Significant contributions in the management of clinical services: medical director or in other important clinical or administrative roles</i> • <i>Development of a multidisciplinary program that offers a unique service and is recognized regionally</i> • <i>Development of strong referral relationships with community physicians for unique, successful clinical programs</i> • <i>Participation in the development of local, regional or national guidelines or quality improvement efforts</i> 	<p><i>edge clinical programs that are nationally recognized for innovation, quality, efficiency, or effectiveness, or lead to improved outcomes or access and are nationally recognized</i></p> <ul style="list-style-type: none"> • <i>Instrumental role at the health system for achieving nationally recognition for safety, quality, or effectiveness as evaluated by clinical outcome measures including national patient safety goals, mortality rates, readmission rates, etc.</i> • <i>Nationally recognition for practice improvement measures</i> • <i>Key role in the development of national guidelines or quality improvement efforts</i> • <i>National recognition of clinical or administrative contributions as evidenced by awards, recognition of national peers, invitations to speak, teach, consult, or become a member of a national group</i>

**This list is not intended to be all inclusive. The number and types of contributions should be weighted by the faculty member's mix of duties.*

APPENDIX IV

Teaching Portfolio

For a guide to the development of a teaching portfolio, go to SOM Faculty Affairs website at: http://www.medschool.vcu.edu/facultyaffairs/career_dev/portfolio.html

APPENDIX V

References

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