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ACADEMIC PERSONNEL POLICY

OF THE

UNIVERSITY OF SOUTHERN CALIFORNIA SCHOOL OF MEDICINE

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ARTICLE I. Authority, Duration, Definitions

Section 1.1 These academic personnel policies and procedural standards of the Medical School are promulgated by the Medical School and are operative under general University policy as of _____. They shall remain in effect until amended, modified, or revoked by action of the Dean, with concurrence of the Medical Faculty Assembly and the Faculty Executive Council, and subject to review by the Faculty Senate and to the approval of the President of the University of Southern California.

Section 1.2 Amendments and/or modifications to these academic personnel policies may be recommended by the Medical Faculty Assembly or Faculty Executive Council prior to submission to the Dean.

Section 1.3 Unless otherwise specified herein, these academic personnel policies and procedural standards shall apply to the following personnel actions: appointments, reappointments, promotions, transfer between tracks, and tenure decisions. The awarding of tenure, alterations of the tenure decision year, and other tenure decisions will require the ultimate approval of the President of the University. The standards and criteria herein shall apply to all departmental recommendations and subsequent reviews and decisions initiated after the date of this document.

Section 1.4 Faculty members holding titles awarded before the inception of this system may elect to retain those titles or may adopt the present system at any time. However, except for reappointment without change of status, any future personnel actions shall be in accordance with the system described herein.

Section 1.5 Words and phrases shall be construed according to the common and approved usage of the language, but technical words and phrases and such others as have acquired a peculiar and appropriate meaning shall be construed and understood according to such meaning. Words imparting the singular number may be extended and be applied to several persons or things, and words imparting the plural number may include the singular. Similarly, words imparting the masculine gender may extend and be applied to mean the feminine gender. As used in these policies and procedural standards, the following terms shall have the meaning herein given unless otherwise expressly provided:

"Academic position" -- A position as a Lecturer, Instructor, Adjunct/Voluntary, Assistant Professor, Associate Professor, or Professor and all positions of like title, but bearing a specific designation such as visiting, part-time, research, clinical, etc.

"Dossier" -- The compilation of all relevant material related to the individual under consideration for a personnel action, and all recommendations based thereon necessary for a decision.

"Credit toward tenure" -- The amount of time in yearly segments credited toward a faculty member's tenure decision year.

"Faculty member" -- A member of the professional staff of the University who holds an academic position.

"Faculty" -- The departmental or campus group exercising primary responsibility in academic matters and in matters of faculty status, the membership of which shall include all persons who hold full or part-time paid academic positions.

"Personnel actions" -- Those administrative actions relating to the status of faculty members with respect to academic positions, as described in Section 1.3.

"Primary responsibility" -- In general the capacity to initiate recommendations, after appropriate consultation, which will be overruled only by written reasons stated in detail. Specifically, faculty primary responsibility is the capacity of the faculty to perform evaluations, render judgments, initiate recommendations, and participate fully in the decision-making process in academic matters and in matters of faculty status. The primary responsibility of the faculty for such matters is based on the fact that its judgment is central to general educational policy.

"Probationary period" -- The period during which a faculty member appointed in the Tenure Track (Article VI) can enjoy full-time regular academic appointments without being awarded tenure, not including a terminal appointment as provided for in Section 9.6 below.

"Tenure" -- Tenure is a means to certain ends, specifically (1) freedom of teaching and research and of extramural activities and (2) a sufficient degree of economic security to make the profession attractive to men and women of ability. Faculty members includes the right of a faculty member to hold his/her position with pay, until voluntary resignation, or retirement. Only for adequate cause and under stipulated procedures may the faculty member be dismissed demoted, prematurely retired, or placed on indefinite leave without pay from that position.

"Tenure decision year" -- The academic year during which a faculty member has mandatory consideration for award for tenure.

ARTICLE II. Academic Freedom, Equal Opportunity, and Affirmative Action

Section 2.1 Academic freedom, equal opportunity, and affirmative action are principles to be honored throughout the Medical School and are particularly significant in academic personnel policy.

Section 2.2 These standards and interpretations as to academic freedom shall apply to all persons who perform teaching or research functions whether or not such persons occupy "academic positions" as that term is defined herein. No member of the faculty of the Medical School shall be dismissed, suspended or denied employment or otherwise penalized, if said action would constitute a breach or infringement of said standards and interpretations as to academic freedom.

Section 2.3 In all personnel decisions, there shall be equal opportunity for all persons without regard to race, color, religion, sex, age, national origin, or physical handicap. Consistent with this principle, affirmative action policies shall be adhered to in order to seek and maintain just representation of women and minority group members throughout the Medical School.

ARTICLE III. Roles and Responsibilities in Personnel Matters

Section 3.1 The faculty has primary responsibility in matters of faculty status: that is, appointments, reappointments, promotions, and tenure. Further development of personnel policies and procedures and amendments to this document shall fall within the scope of the faculty's primary responsibility. The faculty also has primary responsibility in academic matters, and, whenever appropriate, shall relate the two in making personnel recommendations. The faculty shall exercise its primary responsibility as follows:

- a) At the department level, the faculty shall establish, subject to School of Medicine governance procedures, a procedure for the exercise of primary responsibility in matters of faculty status and academic matters. The procedure shall be designed so as to assure that departmental faculty participate, and a description of the nature of faculty participation shall accompany all personnel recommendations.
- b) At the Medical School level, an Appointment and Promotions Committee chosen in accordance with

procedures set forth in the Medical School governance document shall review departmental recommendations, add their conclusions as advice to the Dean, and exercise such other responsibilities as prescribed therein.

Section 3.2 The University Bylaws provide that the President of the University shall have full power of appointment, direction, and supervision of the faculties and the organization thereof. The President has the final authority to approve appointments and promotions to the ranks of Professor and Associate Professor, Librarians III and IV, and to tenure status at any rank. The President has delegated to the appropriate vice-presidents the authority to approve appointments and promotions to the rank of Assistant Professor, Instructor, Librarians I and II, and part-time faculty at all ranks. Procedures for the appointment of faculty below the Associate Professor level customarily are abbreviated by agreement with the academic units. The Dean has been delegated the authority to make decisions in all other matters of faculty status and to make non-tenure appointments to the Faculty of Medicine.

Section 3.3 Students shall be assured the opportunity to contribute to academic personnel review processes.

Section 3.4 In academic personnel matters, the Department Chair is responsible for:

- a) Assuring participation, through consultation, of departmental faculty in all personnel recommendations.
- b) Coordinating all administrative matters relating to personnel actions, such as negotiations for initial appointment, notification of impending review, maintenance of departmental personnel files, solicitation of internal and external evaluations, preparation of a recommendation, compilation of the dossier to support a recommendation, and notification of action.
- c) Keeping faculty members informed as to their status, rights, and responsibilities.
- d) Developing and maintaining, with appropriate faculty participation as stipulated under Section 3.1 (a), long-range plans for the department within the context of the current and long-range needs of the Medical School, and keeping the department informed of the status of those plans.
- e) Assigning specific teaching and administrative responsibilities within the department.

Section 3.5 In academic personnel matters, the

Dean is responsible for:

- a) Overseeing all matters relating to faculty personnel actions as defined by this document.
- b) Ensuring that general criteria and procedural standards are consistently employed in all departments within the School of Medicine.
- c) Ensuring that establishment of a School of Medicine Appointments and Promotions Committee and providing support for the operation of said committee.
- d) Maintaining all faculty personnel records.
- e) Ensuring adherence to the proper procedures as defined in this document.
- f) Reviewing and approving departmental plans and developing and maintaining, with appropriate faculty participation, long-range plans for the School of Medicine, and keeping the faculty informed of the status of those plans.

Section 3.6 In academic personnel matters, the Provost is responsible for:

- a) Ensuring adherence to proper procedures at the University level.
- b) Ensuring that general criteria and procedural standards are consistently employed throughout the University.
- c) Reviewing the long-range plans and developing and maintaining, with appropriate faculty participation, long-range plans for the University as a whole, and keeping the University informed of the status of those plans.

ARTICLE IV. Standards and Criteria for Personnel Reviews, Recommendations and Decisions

Section 4.1 High professional standards must be the basis for all personnel decisions. Personnel recommendations and decisions shall be made only after a review of all of the qualifications and all the contributions of the individual in the areas of teaching; of scholarly creativity; of professional activity; of service; and of patient care, where relevant.

Section 4.2 For personnel recommendations and decisions, consideration must also be given to the relationship of the recommended personnel action to the program plans at the Department, School of Medicine and University levels. For new appointments, and for the award of tenure, those considerations

must be given in writing as established in Section 9.2e.

Section 4.3 The standards and criteria described in this document shall be the only standards and criteria used in making and reviewing personnel recommendations.

Section 4.4 No faculty member or administrative official shall participate directly in any recommendation or decision relating to appointment, reappointment, promotion, tenure or other condition of employment at the University of any parent, child, spouse, sibling, parent-in-law, child-in-law, or stepchild, except under such circumstances as the President of the University may determine as warranting waiver of this prohibition in the best interests of the University.

A faculty member or administrative official shall withdraw from participation in any personnel recommendation or decision involving actual or potential conflict of interest.

ARTICLE V. Organization of Academic Positions

Section 5.1 Appointments to the faculty at the School of Medicine and advancement in rank shall be made in three tracks. The appropriate track shall be determined independently of the source of salary or geographic base of activities. Appointments shall be made in academic departments. A joint appointment between two departments of the University may be tendered only if the second department needs the faculty member and if he/she will teach or conduct research there. Tenure appointment may be made, however, in only one department. In such instances, the academic ranks should be identical in both departments if at all possible. Promotion to a higher rank for faculty holding joint appointments should be initiated by the primary department. The secondary department will review the dossier, and comment upon the role played by the faculty member in the secondary department.

Section 5.2 Assignment to one track or another shall reflect the degree and scope of participation in academic activities relevant to the School of Medicine and its programs.

Section 5.3 The Tenure Track is the traditional academic track. Appointees in this track shall be eligible for tenure and the privileges and limitations thereof (see Article VI). Titles to be used are Assistant Professor, Associate Professor, and Professor of the appropriate discipline.

Section 5.4 The Non-Tenure Track is normally for full time members of the faculty whose professional activities are directed predominantly toward either patient care and its associated teaching (clinical), or scholarly activity (research). Appointments in this track shall be for terms of specified duration which may be renewed on a continuous basis. Titles shall be Instructor, Assistant Professor, Associate

Professor and Professor, of clinical (appropriate discipline) or research (appropriate discipline). Faculty records and contractual documents shall clearly designate the assigned track.

Section 5.5 The Voluntary Faculty Track is for those members of the faculty whose participation in the academic programs of the Medical School encompasses only a small portion of their total professional activity. Appointments in this track shall be for terms of specified duration which may be renewed. Titles to be used shall carry the modifier "Clinical" preceding the rank of Instructor, Assistant Professor, Associate Professor or Professor.

Section 5.6 Each Track has specific objectives which are valuable and important. With appropriate early counseling, transfer from tracks should be an unusual occurrence and must be fully justified. However, in appropriate circumstances, transfer from one track to another may be made through the standard appointment and promotion procedures, beginning with written agreement between the faculty member and the Department Chair. Transfer from Tenure Track to Non-Tenure Track must be completed prior to the end of the tenure decision year, must be based upon a legitimate change in career goals and activities, and the availability of a non-tenure track position in the planned budget of the academic unit involved. If a faculty member who has transferred out of the Tenure Track has a legitimate change in professional career goals or activities he/she may be considered for transfer back into the Tenure Track only prior to his/her original tenure decision year. The tenure decision year shall remain the same. A faculty member initially appointed in the Non-Tenure Track or Voluntary Tracks may transfer into the Tenure Track in accordance with the procedures outlined in Section 9.1 for appointment to Tenure Track.

Section 5.7 In each department, the number of paid faculty positions assigned to the Tenure or Non-Tenure Tracks shall be defined by the Dean after consultation with the Department Chair.

Section 5.8 The rank of Instructor usually shall be granted to those whose training is not yet complete (i.e., senior residents, postdoctoral fellows), but who nevertheless participate to a significant degree in the educational programs of the School of Medicine.

Section 5.9 The rank of Lecturer shall not fall within any of the foregoing tracks and shall be reserved for those appointees to the faculty whose academic credentials qualify them for professorial rank and who are engaged solely in teaching with no obligation for research or University service, i.e. appointees to the faculty whose academic credentials qualify them for professorial rank who are engaged solely in teaching, etc. The position of lecturer shall be part-time only, or up to one year on a full-time basis.

Section 5.10 "Adjunct" - The term "Adjunct" shall precede the academic title of any member of the faculty whose professional accomplishments qualify him/her for a ranked position on the faculty to teach in an area of special expertise (part-time only). The individual's primary appointment may be at another institution.

Section 5.11 "Emeritus" - The term "Emeritus" shall follow the academic title, and may be conferred upon regular faculty members at the time of their retirement from the University after at least ten years of distinguished service. This title may be conferred by the Provost upon the recommendation of the department or school. Emeriti faculty may be offered full-time or part-time employment with the University for a specified term, subject to the approval of the Provost.

Section 5.12 "Visiting" - The term "Visiting" shall precede the academic title of any appointee to the faculty, and designates temporary faculty who are: (a) citizens of another country limited by their visas to temporary service; (b) on leave from another university or college; (c) on leave from industry, government, or the professions. Appointed on an annual basis. May be renewed only once.

Section 5.13 "Clinical" - The term "Clinical" shall precede the academic title of faculty primarily involved in clinical practice who contribute to the clinical teaching programs within the School of Medicine (Part-Time only).

Section 5.14 Affiliated Academic Staff - The following non-faculty titles are examples of those that may be used within the School of Medicine: Clinical Psychologist, Dietitian, Nurse, Occupational Therapist, Physicians Assistant, Postdoctoral Fellow, Preceptor, Respiratory Therapist, Social Worker, Speech Therapist, Nurse Midwife.

Section 5.15 Joint Faculty Appointments - A joint appointment between two schools or divisions of the University may be tendered only if the second school needs the faculty member and if he/she will teach or conduct research there. Tenure appointments may be made, however, in only one school. In such instances, the academic ranks should be identical in both schools if at all possible. Promotion to a higher rank for faculty holding joint appointments should be initiated by the first school.

ARTICLE VI. Tenure Track

Section 6.1 Academic positions in the Tenure Track shall be at the levels of Assistant Professor, Associate Professor or Professor. Faculty holding academic positions in the Tenure Track may be salaried by the University and

principally based within or outside of the School of Medicine campus. Personnel actions for faculty in the Tenure Track shall be based upon evaluation of performance in the full range of academic pursuits, i.e., teaching, research or scholarly activity, service (including patient care if relevant), and upon the provisions of Section 4.2.

Section 6.2 Normally the initial appointment in the Tenure Track for those who have not previously been members of a medical school faculty shall be at the level of Assistant Professor. Minimum criteria for appointment as Assistant Professor shall be:

- a) Completion of the terminal degree and formal training, and in addition:
 - i. for the clinically trained, an active board candidacy, or equivalence.
 - ii. for those trained in basic science, normally 2 years of postdoctoral research.
 - iii. for others not included in i. or ii., sufficient experience and achievement beyond the award of the terminal degree to qualify for an Assistant Professorship in a university department in the individual's academic field.
- b) Evidence of breadth of interest and a commitment to excellence in the full range of academic pursuits (teaching, research or scholarly activities, and service, including patient care if relevant).
- c) Promise of significant development and achievement in all relevant areas of academic pursuit.

Section 6.3 Initial appointments and reappointments as Assistant Professor shall be annual, with the possibility of guaranteed renewal for an additional 1-2 years.

Section 6.4 Reappointment as Assistant Professor. Evidence of continuing achievement and growth since the initial appointment is expected as well as reasonable assurance of continuing professional development which is consistent with significant progress toward the eventual promotion to Associate Professor.

Throughout the probationary period, the faculty member shall receive from the department chair an annual written evaluation of performance. During the fourth year of such successful service, each faculty member shall receive formal evaluation by the department chair, based upon a requirement to show satisfactory progress towards promotion to Associate Professor, promise of future contribution to the department and

established department needs. All such evaluations are subject to the review and approval of the Dean. In addition, evidence of satisfactory fulfillment of the following responsibilities is expected:

- a) Performance of assigned teaching duties and other instructional activities including counseling and appropriate evaluation of student performance.
- b) Scholarly, creative and professional or research activity adequate, as a minimum, for continual updating of course content and other instructional and professional activities so as to reflect current developments in the faculty member's academic field.
- c) Participation, as requested, in the operation and governance of the department, School, Hospital, or University to the extent expected of all faculty members and participation in continuing education or other professional outreach service when such service is expected of all faculty members of the unit which the faculty member holds an appointment.

Section 6.5 Initial appointment as Associate Professor. Normally, assignment of the rank of Associate Professor shall not be made for individuals who have served at the level of Assistant Professor for less than 4 years.

- a) Minimum criteria for appointment as Associate Professor shall be:
 - i. considerable academic or professional experience beyond the level which would warrant an appointment as Assistant Professor.
 - ii. a record of achievement sufficient to have gained national respect and recognition from scholars or professionals in his or her field.
 - iii. promise of continuing professional development and achievement.

Section 6.6 Initial appointment to the rank of Associate Professor for those who have not previously served in an academic institution should reflect, where possible, the equivalency of previous professional activity, experience, achievement, responsibility and stage of professional development with the minimal criteria listed in Section 6.5

Section 6.7 Promotion to Associate Professor. Normally, promotion to Associate Professor shall not be made before 4 years of service at the level of Assistant Professor and must reflect adherence to all criteria for teaching, research or scholarly activity and service (including patient care if

relevant) as outlined in Sections 6.4 and 6.5. In unusual circumstances, an accelerated promotion may be granted, based upon clear excellence in all criteria.

Section 6.8 Appointment to the level of Associate Professor in the Tenure Track, but without tenure may be for a term of one year, with the possibility of guaranteed renewal of 1-3 additional years, but shall not exceed the length of the probationary period as defined in Section 8.5.

Section 6.9 Reappointment as Associate Professor. For an individual who has not yet achieved tenure, reappointment as Associate Professor shall require satisfactory fulfillment of responsibilities outlined in Section 6.5 and evidence of continuing growth and achievement since the previous appointment as well as continuing professional development consistent with the ability to reach the level of eventual promotion to Professor.

Section 6.10 For initial appointment as Professor or promotion to the rank of Professor, the faculty member must meet all of the requirements for Associate Professor and have gained the professional maturity and experience of additional years of sustained high quality professional performance in all spheres of academic endeavor. The faculty member must also show promise of continuing professional development and achievement.

- a) Normally, the appointment to the level of Professor shall not be made before the faculty member has accrued 10 years of professional experience beyond the award of the terminal degree, although exceptions may be made in unusual circumstances.

Section 6.11 Throughout the probationary period, the faculty member shall receive from the Department Chair an annual written evaluation of performance.

Section 6.12 After promotion to Associate Professor, each faculty member shall be annually evaluated for merit pay consideration by the Departmental Appointment and Promotions Committee.

ARTICLE VII. Non-Tenure Track

Section 7.1 Academic positions in the Non-Tenure Track shall be at the levels of Instructor, Assistant Professor, Associate Professor or Professor. Faculty records and contractual documents shall clearly designate the assigned academic track. Faculty holding academic positions in the Non-Tenure Track may be full or part-time, salaried or unsalaried by the University, and principally based within or outside of the Health Sciences Campus. Non-Tenure Track will include either the Clinical Track or the Research Track.

Section 7.1A Clinical Track: Personnel actions shall be based upon provisions of Section 4.2, and on evaluation of performance in any one area from each of two categories: A) Category One: (1) patient care (2) service relevant to the academic programs of the School of Medicine B) Category Two: (1) research or scholarly activity (2) teaching. Academic titles would include: Assistant Professor of Clinical; Associate Professor of Clinical and Professor of Clinical (add specific discipline).

Section 7.1B Research Track: Personnel actions for the faculty in the Research Track shall be based on evaluation of performance in research or scholarly activity, and upon provisions of Section 4.2. Academic titles would include Assistant Professor of Research; Associate Professor of Research; and Professor of Research (add specific discipline).

Section 7.2 Normally the initial appointment shall be at the level of Assistant Professor. Minimal criteria for appointment as Assistant Professor shall be:

- a) Completion of formal training and, in addition:
 - i. for the clinically trained, and active board candidacy, or equivalence.
 - ii. for those trained in basic science, normally 2 years of post-doctoral research.
 - iii. for others not included in i. or ii., sufficient experience and achievement beyond the award of the terminal degree to qualify for an assistant professorship in a university department in the individual's academic field.
- b) Evidence of breadth of interest and a commitment to excellence in two of the following academic pursuits: teaching, research or scholarly activity, patient care or service relevant to the School of Medicine.
- c) Promise of significant development in the above areas of academic pursuit.

Section 7.3 Initial appointment as Assistant Professor shall be a term of one year, with the possibility of guaranteed renewal of 1-2 additional years. Reappointment shall be for terms of up to 3 years.

Section 7.4 Reappointment as Assistant Professor. Evidence of continuing achievement since the initial appointment and progress towards promotion to Associate Professor through satisfactory fulfillment of responsibilities in two of the following areas:

- a) Performance of assigned teaching duties and other instructional activities including counseling and appropriate evaluation of student performance.
- b) For faculty on the Clinical Track, scholarly, creative and professional activity adequate, as a minimum, for continual updating of course content and other instructional and professional activities so as to reflect current developments in the faculty member's academic field. For faculty on the Research Track, scholarly activity demonstrating satisfactory progress toward achievement of national recognition in the chosen field of research.
- c) Participation, as requested, in the operation and governance of the department, school, hospital, or University to the extent expected of all faculty members. Participation in extension work, continuing education, and other professional outreach service when such service is expected of all faculty members of the unit in which the faculty member holds an appointment.
- d) Delivery of a high standard of patient care, and/or relevant administrative activities.

Section 7.5 Initial appointment as Associate Professor. Normally assignment of the rank of Associate Professor shall not be made for individuals who have served at the level of assistant professor for less than 4 years.

- a) Minimal criteria for appointment as Associate Professor shall be:
 - i. considerable academic or professional experience beyond the level which would warrant an appointment as Assistant Professor.
 - ii. for those judged on scholarly activity, a record of achievement sufficient to have gained national respect and recognition from scholars or professionals in his or field.
 - iii. promise of continuing professional development and achievement.

Section 7.6 Initial appointment to the rank of Associate Professor for those who have not previously served in an academic institution should reflect, where possible, the equivalency of previous professional activity, experience, responsibility and maturity with the minimal criteria listed in Section 7.5.

Section 7.7 Promotion to Associate Professor on

the Clinical Track: Normally, promotion to Associate Professor shall not be made before at least 6 years of service at the level of Assistant Professor and must reflect excellence in performance over and above the minimal criteria outlined in Section 7.4 and upon excellence in any one area from each of two categories: A) Category One: (1) patient care (2) service relevant to the academic programs of the School of Medicine B) Category Two: (1) research or scholarly activity (2) teaching. Usually, an accelerated promotion to Associate Professor shall not be made before at least 4 years of service at the level of Assistant Professor, and must reflect excellence in three of the aforementioned areas.

Section 7.8 Promotion to Associate Professor on the Research Track: Normally, promotion to Associate Professor shall not be made before at least 6 years of service at the level of Assistant Professor, and must reflect excellence in performance over and above the minimal criteria outlined in Section 7.4, with evidence of a record of achievement in scholarly/research pursuits sufficient to have gained national respect and recognition from scholars or professionals in his or her field, and promise of continuing professional development and achievement. Normally, an accelerated promotion to Associate Professor on the Research Track shall not be made before at least 4 years of service at the level of Assistant Professor and must reflect early attainment of national recognition in the candidate's scholarly research pursuits.

Section 7.9 Appointments to the level of Associate Professor shall be for terms of one year, with the possibility of guaranteed renewal for 1-2 additional years. Reappointments shall be for terms up to 3 years.

Section 7.10 Reappointment as Associate Professor. Reappointment as Associate Professor shall require evidence of continuing excellence in the fulfillment of responsibilities as outlined in Sections 7.5, 7.7 or 7.8 as evidence toward satisfactory progress toward promotion to Professor.

Section 7.11 For initial appointment as Professor or promotion to the rank of Professor, the faculty member must meet all of the requirements for Associate Professor and have gained the maturity and experience of additional years of sustained high quality professional performance beyond the level required for the rank of associate professor. The faculty member must also show promise of continuing professional development and achievement.

- a) Normally the appointment to the level of Professor shall not be made before the faculty member has accrued a minimum of 10 years of professional experience beyond the award of the terminal degree, although exceptions may be made in unusual circumstances.

- b) Appointment to the rank of Professor in the Non-Tenure Track shall be annual, and may include guaranteed re-appointment for terms of 1-5 years.

Section 7.12 Reappointment as Professor. Reappointment to Professor shall require evidence of continuing excellence in the fulfillment of those responsibilities as outlined in Section 7.11 which justified initial appointment.

Section 7.13 Non-tenure contracts will be awarded as follows:

- a) Initial appointment as Assistant Professor will be recognized by annually renewable one year contracts for the first four years of University service. Notice of non-reappointment will be provided no later than three months prior to the anniversary of appointment during the first year, no later than six months prior to the anniversary of appointment during the second year, and no later than twelve months prior to the end of the contract period of subsequent years.
- b) During the fourth year of such successful service each faculty member shall receive formal evaluation by the Department Chair, based upon a requirement to show satisfactory progress towards promotion to Associate Professor, promise of future contribution to the department and established department needs. All such evaluations are subject to the review and approval of the Dean.
- c) No later than the seventh year of such successful service, each such faculty member shall receive formal evaluation under the provisions of the School of Medicine policy on appointment and promotion, for promotion to Associate Professor. The achievement of such promotion provides eligibility for an annual contract, with the possibility of guaranteed renewal for an additional 1-2 years. Failure to be promoted may lead to a terminal one year contract or renewable one year contracts until promotion is earned.
- d) After promotion to Associate Professor, each such faculty member shall be annually evaluated for merit pay consideration by the Departmental Appointment and Promotions Committee. Meritorious service generally shall be recognized by annual renewal of the three year contract. In the event of an unsatisfactory evaluation, a notice of non-reappointment will provide at least a two-year notice.
- e) Faculty may, at any time after promotion to Associate Professor, but normally not sooner than ten years after

initial appointment to the rank of Assistant Professor, be considered for promotion to Professor according to the criteria for such promotion in the School of Medicine Policy for Appointment and Promotion. Upon promotion to Professor, faculty become eligible for annual contracts with the possibility of guaranteed renewal for periods of 1-4 additional years. Faculty shall be annually evaluated for merit pay consideration by the Departmental Appointment and Promotions Committee. Meritorious service generally shall be recognized by annual renewal of the five year contract. Notice of non-reappointment, in the event of an unsatisfactory evaluation, will provide at least a three year notice.

ARTICLE VIII. Tenure

Section 8.1 All appointments and reappointments to academic positions within the Tenure Track, but without the award of tenure are probationary. The probationary period is an opportunity for the faculty member to demonstrate the qualifications for reappointment, promotion, and the award of tenure. During the probationary period, the faculty member should have access to information on the substantive and procedural standards employed in decisions affecting reappointment, promotion, and the award of tenure.

Section 8.2 No academic appointment without tenure shall carry with it any assurance, explicit or implicit, of a reappointment, a promotion, or the eventual award of tenure. Such actions must be based on a positive recommendation in accordance with procedures and standards established elsewhere in this article and Section 4.2, and the availability of a faculty position.

Section 8.3 The award of tenure can be made only by the President of the University. Consideration of a candidate for tenure shall be based on the following:

- a) Convincing evidence of excellence in at least two, and strength in the third, in the areas of: teaching, research or scholarly activity; and university and community service, (including patient care where relevant) such as to demonstrate the possession of qualities appropriate to a member of the faculty occupying a permanent position.
- b) Reasonable assurance of continuing development and achievement leading to further contributions to the School of Medicine and University.
- c) The relationships as stated in Section 4.2

Section 8.4 The criteria for an initial appointment with tenure shall be those established for the rank involved and those for the award of tenure. Normally the award of tenure at the time of initial appointment shall be limited to those who already hold tenure at another comparable institution or whose initial appointment to the faculty coincides with appointment as Department Chair.

Section 8.5 The timing of personnel recommendations, reviews, and decisions for individuals on probationary appointments shall conform to the following guidelines:

- a) The probationary period shall not normally exceed seven years beginning with the faculty member's first regular, full-time academic appointment (i.e. Assistant Professor) in an institution of higher learning. Prior probationary service at another institution shall count toward the maximum probationary period.
- b) With one year of probationary service, the maximum probationary period shall be six years; with two years of prior probationary service, the maximum probationary period shall be five years; with three or more years of prior probationary service, the maximum probationary period shall be four years--even though, thereby, the faculty member's total probationary period in the academic profession is extended beyond the normal maximum of seven years.
- c) If a probationary faculty member initially commences full-time academic duties on or after December 1 of an academic year, the remainder of that academic or fiscal year shall not be included in calculating the maximum length of the probationary period.
- d) Designation of the tenure decision year shall be made at the time of initial appointment in the Tenure Track. The review of candidates for tenure shall occur in timely fashion during the tenure decision year for all faculty members who have entered their tenure decision year. In most circumstances, the decision regarding tenure will coincide with the decision to promote to Associate Professor.
- e) The tenure decision year may be altered by the Provost, upon written request of the faculty member, and approval by the Department Chair and the Dean, in the following circumstances:
 - i. When a non-tenured faculty member is named to either a full-time or part-time (i.e., greater than or equal to one half time) administrative position

which would restrict opportunity for scholarly and professional activity, the duration of the administrative position will not be included in the probationary period, provided there has been prior written agreement of the faculty member, the Department Chair and the Dean.

- ii. When a non-tenured faculty member is granted a leave without pay, the time spent on leave will not be included in the probationary period, except in unusual circumstances agreed to in writing at the time the leave is approved, and shall not be credited towards eligibility for sabbatical leave.
 - iii. When a non-tenured faculty member, with the approval of the Department Chair and the Dean, temporarily transfers from full-time to two-thirds status or less, an adjustment of the tenure decision year may be negotiated. No adjustment shall be made for a temporary transfer to more than two-thirds status.
- f) In any circumstances, a request by the faculty member for alteration of the tenure decision year shall require:
- i. recommendation of the Department Chair;
 - ii. approval by the Dean;
 - iii. approval by the Provost.

If approved, the redesignated tenure decision year shall be set forth in a written agreement between the individual, the Department Chair, and the Dean.

- g) Consideration of a candidate for an appointment with tenure shall be made during the tenure decision year, and only in exceptional circumstances may an award of tenure be considered prior thereto.
- h) In those cases in which a faculty member does not hold an appointment beyond the tenure decision year and tenure is not granted, the seventh year will be the terminal year; timely notice to this effect will be given.

Section 8.6 The terms and conditions of every appointment to an academic position shall be stated in, or as part of, the Approved Offer and Acceptance Form, signed by the appropriate administrative officials and countersigned by the candidate, which shall signify his or her understanding and acceptance of said terms and conditions. The terms and conditions shall specify the date of first full-time appointment

at the University, credit toward tenure, the expiration of the current appointment in the case of an appointment without tenure, and the tenure decision year in the case of a probationary appointment. With regard to the foregoing matters, no contrary condition, whether implied or stated, whether to the advantage or disadvantage of the candidate, shall have binding force.

The terms and conditions of every reappointment (or any modification thereof) shall be stated in or as part of the Notification, Contract Offer, and Acceptance of Professional Staff Reappointment Form signed by the appropriate administrative officials, and countersigned by the candidate, which shall signify his understanding and acceptance of said terms and conditions. No other term or condition, whether implied or stated, whether to the advantage or disadvantage of the candidate, shall have binding force.

ARTICLE IX. Procedures for Appointments, Reappointments, the Awarding of Tenure, and Promotions

Section 9.1 Initial appointments. Upon identification of a candidate, the Department Chair shall submit his recommendation for rank, and term of appointment to the Dean, who in turn shall submit it to the Appointments and Promotions Committee. The recommendation shall contain written justifications on the basis of the relationship in Section 4.2. It shall be accompanied by appropriate supporting data which shall include certification that appropriate procedures consistent with University approved affirmative action policies were followed, three to five letters of recommendation from a list which includes, but is not limited to, those suggested by the candidate, a history of the candidate's training and qualifications, and a list of publications. For initial appointments in the Non-Tenure Track the requirement for outside letters may be waived.

- a) The Appointments and Promotions Committee shall transmit its recommendation to the Dean who shall make his/her recommendation.
 - i. In circumstances in which recommendations to the Dean are not unanimous, the Dean may request the Faculty Executive Council to review the case. The Faculty Executive Council shall have the right to add its own recommendation to that of the Appointments and Promotions Committee. The final recommendation shall be made by the Dean.
 - ii. If an initial appointment is to be made with tenure, the Dean, before reaching a decision, shall request an evaluation for tenure as described herein for those already on the faculty.
- b) The Department Chair shall then obtain the Approved

Offer and Acceptance Form with its appropriate signatures, explain the terms and conditions of appointment and obtain a counter signature from the applicant on the form in accordance with Section 8.6.

Section 9.2 The process for recommendations, reviews, and decisions for reappointments through the tenure decision year, promotions, transfer between tracks, and the award of tenure shall conform to the following guidelines:

- a) The faculty member shall be advised by the Department Chair as early as possible (in cases of reappointment and tenure, at the beginning of the academic year) that a review of his contributions will be made for the purposes of a personnel recommendation.
- b) The faculty member shall submit to the Department Chair any and all materials, for inclusion in the dossier, which he/she believes will be essential to an adequate consideration of the case.
- c) For promotions to the rank of Associate Professor and Professor and for tenure recommendations, the Department Chair, after consultation with the candidate, shall obtain a minimum of three and maximum of five outside letters of reference from a list of scholars and professionals who have had no prior collaborative working relationship with the candidate. The faculty member shall have the right to suggest some of the names to be included on this list. For those in the Non-Tenure Tracks the requirement for outside letters may be waived if an evaluation of research excellence is not being made.
- d) The dossier will be studied at all levels where responsibility for recommendation, review or decision has been established. The dossier shall contain the items in b) and c) and the following:
 - i. vita, bibliography, copies and/or reviews of published work;
 - ii. appropriate evaluations of teaching effectiveness;
 - iii. evaluations of extra-departmental contributions;
 - iv. recommendations of the department or School of Medicine faculty bodies and of appropriate administrative officials.
- e) At the departmental level, the Chair, after consultation with his faculty and acting in accordance with the responsibilities defined in Section 3.1 and the standards and criteria established in Article IV,

initiates the personnel action by a recommendation to the Dean. The faculty member shall at the same time be notified of the initiation of this action by the Department Chair. In considerations of reappointments through the tenure decision year, and the award of tenure, these recommendations shall contain written justifications on the basis of the relationships described in Section 4.2. When the recommendation does not accord with departmental long-range plans, or the department does not recommend tenure, the reasons for such a decision shall be indicated, and the dossier will receive review by the Dean. When the dossier is forwarded from the departmental level to the Dean, the following shall have been added:

- i. a statement of the nature of departmental faculty participation as required in Section 3.1(a) and any recommendation issuing from such participation.
 - ii. the recommendation of the Department Chair;
 - iii. a description of the professional standing of the writers of letters of reference, with indication of any prior collaborative working relationship with the candidate.
- f) The Dean shall submit the dossier to the Appointments and Promotions Committee. From this point these personnel actions, with the exception of tenure, shall be processed as stated in Section 9.1(a).

Section 9.3 Recommendations for tenure shall be made by the Department Chair to the Dean. The Dean shall simultaneously submit the dossier to the Appointments and Promotions Committee and to an Ad Hoc Committee, selected by the Dean after consultation with the Chair of the Appointments and Promotions Committee. The Ad Hoc Committee shall consist of 3 members of the tenured faculty who are not currently serving on the Appointments and Promotions Committee. These committees shall independently review the dossier, and formulate recommendations.

- a) The Ad Hoc Committee shall be made up of those individuals who are competent to evaluate the candidate's scholarly achievements. Its function shall be primarily to evaluate the candidate's contributions in the context of national standards applied for the specific field. Ad Hoc Committees may also consider other circumstances and factors relevant to the award of tenure to the candidate.
- b) The Appointments and Promotions Committee shall concern itself with conformity of the candidate's credentials to institutional standards, and with institutional need, long-range plans of the department and School of

Medicine, affirmative action, and such other considerations as it deems relevant.

- c) The Dean shall then inform the Department Chair of the Committees' recommendations. Prior to forwarding a recommendation from one or both of these committees which may be contrary to the recommendations forwarded from the Department Chair, the Dean shall give the Department Chair opportunity to provide additional information for the dossier or clarification of the recommendation in question. Any additional information shall then be submitted to the committee(s) which submitted the contrary recommendation(s). After reconsideration of such contrary opinion(s) the committee(s) shall submit to the Dean a second recommendation either confirming or altering the former recommendation(s). The Dean shall then inform the Department Chair of the committees' recommendation.
- d) If the Department Chair of the affected faculty member wishes to challenge a recommendation by one or both committees, the Dean may then submit the dossier for consideration by the Faculty Executive Council.
- e) The Dean, acting in accordance with responsibilities defined in Section 3.5 shall then consider the entire dossier, the recommendation of the Faculty Executive Council, the recommendation of the Ad Hoc Committee and the Appointments and Promotions Committee, and on the basis of the standards and criteria established in Article IV, review the dossier and make a recommendation or decision. Prior to a recommendation or decision which may be contrary to that of the Department Chair, the Dean may invite the Department Chair to provide additional information for the dossier or clarification of the recommendation.

If the Dean supports a recommendation for tenure he shall forward the entire dossier to the Provost. The Dean's recommendation shall contain written justification on the basis of the relationships described in Section 4.2. When the recommendation does not accord with the School of Medicine's long-range plans, reasons for such departure shall be indicated.

When the dossier is forwarded with a recommendation for tenure, the following shall have been added:

- i. any additional information provided by the Department Chair at the request of the Dean;
- ii. the recommendation of the Dean.

A copy of the recommendation of the Dean shall be sent

to the Department Chair.

- f) At the University level, the Provost, acting in accordance with responsibilities defined by the bylaws and regulations of the University shall review the dossier as forwarded from the Dean, and shall decide whether or not to recommend the awarding of tenure by the President.

Section 9.4 Temporary appointments. Appointments to the faculty of less than 90 days duration may be made at any time by the Dean upon recommendation of the Department Chair without consideration by any faculty committee. Such temporary appointees shall be granted the visiting title. Conversion of such temporary appointments to regular appointments, however, shall require conformity with Section 10.1.

Section 9.5 Reappointments without promotion may be made at any rank within the guidelines expressed in this document.

Section 9.6 Notice of non-reappointment shall be given in writing to the faculty member by the Department Chair. The following schedule shall apply to both non-tenure track and probationary tenure track faculty when a notice of non-reappointment is to be sent:

- a) In an initial one-year appointment at least three months in advance of its termination, or by February 15, whichever is earlier.
- b) In the second year of service, at least six months in advance of its termination, or by November 15, whichever is earlier.
- c) After more than two years of service, at least twelve months in advance of termination of the appointment.
- d) Failure to send timely notice of non-reappointment shall entitle the faculty member to a terminal reappointment of one year.

ARTICLE X. Rights of Members of the Faculty in Academic Personnel Matters and Responsibilities as Conditions of Employment

Section 10.1 Policies, criteria, and procedural standards established herein and additional policies established by the campus shall not infringe upon the following rights of faculty members in personnel matters:

- a) For personnel reviews, recommendations and

- decisions, the right and the responsibility to present all materials which he/she believes will be essential to an adequate consideration of the case, and the opportunity to supplement the original presentation with additional relevant information pertaining to the period under review in the event that a review indicates shortcomings in the presentation.
- b) The right to have access to information on the current needs and long-range plans of the department, School of Medicine, and University.
 - c) The right to have extra-departmental service contributions considered at the department level as well as at other levels of review, recommendation and decision.
 - d) The right to be considered for tenure if given an appointment or reappointment in the Tenure Track through the end of the probationary period.
 - e) The right to equitable treatment in personnel matters so as to ensure generally consistent recognition to departmental faculty members whose chosen field, overall professional development, period of service on the campus, and quality of contributions, all taken as a whole, are judged to be approximately equal.
 - f) The right to discuss his professional progress and any personnel matter of concern with his Department Chair and, if such discussions prove unsatisfactory, with the Dean.
 - g) The right to be informed in a timely manner of the personnel recommendations made at the department or School of Medicine level.
 - h) The right to notification of non-reappointment as specified in Section 9.6.
 - i) The right to discuss reasons for a negative personnel decision with the Department Chair and the Dean.
 - j) The right to suggest names of some of the potential outside reviewers for promotion and tenure decisions and to recommend against the use of certain reviewers for specified valid reasons.
 - k) The right to all grievance procedures and other relevant privileges stipulated in the Faculty Handbook.