

 NORTHEAST OHIO MEDICAL UNIVERSITY	Policy No: 3349-3-195
POLICY TITLE: University Faculty Bylaws – Appendix B: Appointment, Promotion, and Tenure	EFFECTIVE DATE: June 5, 2015 Revised and Updated: July 1, 2026
RESPONSIBLE DEPARTMENT: Office of Provost and Senior Vice President for Academic Affairs	University Tenured and Tenure Track Faculty

(A) Purpose

The Faculty Bylaws concerning Appointment, Promotion, and Tenure of Tenure Track Faculty (the “Bylaws”) are set forth herein and are designed to cultivate a diverse body of faculty that demonstrates sustained excellence and distinction in scholarship, education, service, and clinical care, if appropriate. To this end, the Bylaws define the nature of Tenure; the faculty who are eligible for appointment and consideration for Promotion and/or Tenure; the process for the comprehensive, fair, and orderly consideration of appointments and the granting of Tenure; criteria that are to be applied in making these decisions; and mechanisms for the assurance of due process and good faith resolution of conflicts arising out of the Bylaws.

(B) Scope

The Bylaws concerning Appointment, Promotion, and Tenure of Tenure Track Faculty apply only to Tenure Track and Tenured Faculty.

(C) Definitions

- (1) “Academic Rank.” The University has established in rank order, the ranks of Assistant Professor, Associate Professor, and Professor (sometimes referred to as full Professor) for faculty on the Tenure Track. The rank of Instructor is reserved for persons completing customary preparation in a given field, or persons without a terminal degree. This rank is only available to faculty in the non-Tenure Track.
- (2) “Candidate.” A Candidate is an applicant for appointment, Promotion, and/or Tenure.
- (3) “College.” The Term “College” includes all the Colleges organized under the authority of the Northeast Ohio Medical University (“NEOMED” or “the University”).

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- (4) “Curriculum Vitae (CV).” The Curriculum Vitae is one of the documents submitted by the Candidate for consideration by Independent External Evaluators. The CV should include, but does not need to be limited to, information on contributions to the educational program of the University or College(s), research and scholarly accomplishments, service related to the College(s), University or Profession, and professional standing.
- (5) “Days.” Days as used in this document are business Days of the University.
- (6) “Dossier.” A Dossier is a comprehensive set of documentation prepared and submitted by the Candidate when seeking Promotion and/or Tenure. This documentation is critical in assessing the Candidate’s achievements and readiness for Promotion and/or Tenure. The completed Dossier must be signed by the Candidate along with an attestation of veracity and completeness (see Appendix A).
- (8) “Evaluation Year.” The Evaluation Year is the final year of the Probationary Period.
- (9) “Independent External Evaluator.” An Independent External Evaluator is an individual who is not a first degree relative of the Candidate; or does not have a comparable close personal relationship with the Candidate; or has no substantive financial ties to the Candidate; is not dependent in some way on the Candidate’s services; does not have a close professional relationship with the Candidate (e.g., dissertation advisor, postdoctoral mentor, or collaborator); has not in the past three years co-authored an original research publication or presentation with Candidate, or collaborated on research or funding including funding proposals (e.g., as a co-investigator or consultant on a research grant) with the Candidate that would be defined as a conflict in accordance with the foregoing guidelines; or has not collaborated so extensively with the Candidate that an objective review of the Candidate’s work either is not, or appears not to be possible. An Independent External Evaluator is not employed by and does not have a faculty appointment at the University or its affiliated hospitals and health departments and is qualified to assess the Candidate’s scholarly achievements and reputation. An Independent

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External Evaluator must hold faculty rank equivalent to or higher than the rank to which the Candidate seeks promotion (i.e., must be at least Associate Professor for Associate Professor Candidates, and Full Professor for Full Professor Candidates).

- (10) “Letter of Offer.” The Letter of Offer is a document initiated by a given College Dean that sets forth certain terms and conditions of the Candidate’s appointment and/or employment but does not constitute a contract. Any previous experience to be counted toward a faculty member's Probationary Period may be negotiated prior to appointment and will be delineated in this document. Any modifications to the document must be in writing and signed by the Dean of the respective College that initiated the appointment, the faculty member’s Department Chair, and the affected faculty member.
- (13) “Notice of Non-reappointment.” Notice of Non-reappointment is a written notification by the Dean of the respective College to the affected faculty member that the College intends to terminate a faculty member's appointment at a specified time. Notice of Non-reappointment will generally be given on or before March 15. For the first year of service, the last day of service will be June 30 of the calendar year in which the notice is given. After one or more years of service, the last day of service will be June 30 of the next calendar year.
- (14) “Probationary Period.” The Probationary Period is the initial period of a Tenure Track appointment during which faculty members must demonstrate that they are capable of performing at the level of excellence and distinction required to be awarded Tenure. The Probationary Period lasts from the date of the initial Tenure Track appointment to the date of the award of Tenure by the Board of Trustees or Notice of Non-reappointment.
- (15) “Promotion.” Promotion is the shift of a faculty member from one Academic Rank to a higher Academic Rank.
- (16) Recognition of Faculty Distinction

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The following titles have been established to recognize outstanding, meritorious, or exceptional Tenured or Tenure Track Faculty.

(a) “Distinguished”

- (i) The title “Distinguished” is a non-salaried designation of distinction.
- (ii) The title Distinguished University Professor is the highest honor the University can confer. It is reserved for faculty members who have made exceptional contributions and extraordinary achievements in the areas of teaching, scholarship, and research.
- (iii) When the title “Distinguished” is conferred, it precedes the faculty member’s Academic Rank.
- (iv) Recommendations for the award of Distinguished status may originate with the Department Chair, Dean, Provost, or the President. If the recommendation originates with the Chair, it must be reviewed by the respective College Dean and Provost, and if approved, forwarded to the President.
- (v) The President may forward recommendations directly to the Board of Trustees for approval.

(b) “Emeritus”

“Emeritus” is a title of distinction that is used to recognize University faculty and senior professional staff who have provided meritorious service to the University and who have terminated full-time service to the College or University. The University recognizes Emeritus faculty and senior professional staff as a continuing valuable resource and as such encourages them to maintain an active ongoing relationship with the

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University. The conferral of this title is governed by a separate Board of Trustees Policy and as such, is beyond the scope of these Bylaws.

- (17) “Tenure.” Tenure is a privilege and not a right. Tenure is the commitment of a given College of the University to a faculty member for continuous and ongoing faculty appointment. Tenure provides protection against involuntary suspension or termination except for financial exigency, just cause, when a faculty member receives a negative post-tenure review. Tenure automatically ceases upon the faculty member’s voluntary or involuntary termination, retirement, or death.
 - (18) “Tenure Track Position.” A Tenure Track Position is a full-time salaried faculty appointment that includes the eligibility to apply for Tenure. The appointment to a Tenure Track Position is set forth in the Letter of Offer.
 - (19) “Tolling.” Tolling is the suspension of the time period (granted in year-long increments) that comprises a tenure track faculty member’s Probationary Period, for which there is no expectation of productivity. Tolling of the Probationary Period must be requested by the faculty member and approved by the Department Chair and the Dean of the respective College. Any such suspension of time will not be counted toward the Probationary Period.
- (D) Body of the Bylaws
- (1) Appointments
 - (a) Appointment to the Faculty is a privilege not a right. An Appointment is the designation of a Candidate for a given Academic Rank, that is based upon the Candidate’s competence in a given field and the expectation that the Candidate will maintain and increase mastery and creativity in this field. The Letter of Offer will state the kind of Appointment the Candidate will hold, the conditions under which the Appointment is made and held, and any special considerations that may affect the Appointment.

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- (b) Appointments to the Tenure Track will be made upon the positive recommendation of a duly constituted Search Committee, the respective College Dean, the Provost, the University President, and final action by the Board of Trustees.
- (c) Considerations include, but are not limited to:
 - (i) Possession of an appropriate terminal academic or professional degree;
 - (ii) Expertise in an appropriate academic field and evidence of dedication to continuing advancement of this field of knowledge;
 - (iii) Ability and dedication as an effective teacher;
 - (iv) Creativity and competence in an appropriate field of research and scholarship; and
 - (v) Ability to assume responsibility for service to the College, University, or profession.
- (d) “Appointments with Tenure” are Appointments for senior level faculty (Associate or Full Professor) from comparable institutions where they have had Tenure and a commensurate faculty rank. For these faculty, the Probationary Period is waived, and Tenure commences at the time of initial Appointment. Appointments with Tenure are made only after positive recommendations by the Department Chair, respective College Dean, and consultation with the Provost. The Provost shall forward positive recommendations to the University President for review and approval. The University President shall forward positive recommendations to the Board of Trustees for ratification or approval.

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- (e) While prior Tenure status and faculty rank at another institution will be considered at the time of initial Appointment, the College Dean in consultation with the University Provost will determine the appropriate faculty rank and the length of any Probationary Period for a faculty member within the guidelines established herein. The length of the Probationary Period if any, will be set forth in the Letter of Offer.
 - (f) An Appointment is made with the expectation that it will continue until notice is given and that it may be terminated either upon the retirement or resignation of the faculty member or by the College or University in accordance with the University Bylaws and/or the Faculty Bylaws.
- (2) Tenure
 - (a) Basic Principles of Tenure
 - (i) The conferral of Tenure is a commitment of the resources of a given College within the University. Tenure assists the University and its respective Colleges in attracting and retaining a high quality, and diverse faculty. The conferral of Tenure necessitates an assessment of University and College needs and resources. The University will consider documented evidence of the Candidate's professional excellence in teaching, research and scholarly activities, and academic/public/professional/clinical service; and demonstrated professional dedication and outstanding ability necessary to substantiate the potential for future contributions justifying the degree of permanence afforded by the award of Tenure.
 - (ii) Tenure may be awarded only to a full-time, salaried Candidate with a Tenure Track Appointment. Tenure may be awarded at the time of initial appointment or after the successful completion of the Probationary Period. Except under extraordinary circumstances, any time accrued under Non-Tenure Track Appointments at the

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University or elsewhere will not count toward the established Probationary Period. Any exceptions must be approved by the respective Department Chair and Dean and must be noted in the Letter of Offer or an amendment thereto.

- (iii) Tenure is a privilege not a right.
- (iv) Tenure shall not be awarded unless, after rigorous review, the Candidate has been found to meet the standards described herein. Attainment of Tenure may not result from inaction, inadvertence, or any procedural error on the part of the College or University.
- (v) A Candidate for Promotion must first have been awarded Tenure or must seek Tenure at the time he/she seeks Promotion.
- (vi) If Tenure is not awarded, a Candidate shall be given a Notice of Non-reappointment as defined herein.

(b) Tenure Track

Only faculty appointed to the Tenure Track are eligible to apply for Tenure. Tenure Track status will be identified in the faculty member's Letter of Offer.

(c) Terminal Degree

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

(d) Award Must Result from Positive Action

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

(e) Probationary Period

- (i) Typically, the Probationary Period begins at the time an appointment commences and ends on the date of the award of Tenure by the Board of Trustees. In determining eligibility for Tenure and Promotion, initial Appointments commencing on or before October 1 will be counted as a full year. Partial years of appointment will not be used unless so requested in writing by the faculty member. The Probationary Period will be identified in the Letter of Offer or the amendments thereto.
- (ii) During the probationary period, faculty members:
 - (a) will meet at least annually with the Tenure Advisory Committee as stated in Section (E)(3)(a) of this Appendix.
 - (b) whose overall score meets, exceeds, or is rated at outstanding performance will continue to be evaluated annually through the Annual Performance Evaluation process.
 - (c) whose overall score is below performance expectations shall be required to meet with the respective Department Chair to develop a Performance Improvement Plan (PIP) to address specific improvement strategies, identify resources for

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faculty development, and establish performance expectations for the upcoming performance year.

- (i) If a probationary faculty member is unable to meet performance expectations, the faculty member may receive a Notice of Non-Reappointment from the Dean after consultation with the Department Chair.
- (iii) Upon written request of a faculty member and approval by the Department Chair and the Dean, a faculty member may be allowed to apply for Tenure before the maximum number of years of the Probationary Period. If the faculty member is not awarded Tenure when he/she is reviewed before the maximum number of years provided herein, he/she may re-apply for Tenure once more. However, he/she may only re-apply in the year when he/she has completed the maximum number of years of the Probationary Period.
- (iv) Leaves of absence and other reasons approved by the Chair and the Dean for which the Probationary Period has been tolled will not be counted as part of the Probationary Period.
- (v) In extenuating circumstances, at the written request of the faculty member and with the concurrence of the respective Department Chair and Dean, extensions of up to no more than three (3) years in total may be given to those probationary faculty who demonstrate a high probability of being awarded Tenure at the end of the extension. The request must be made before May 15 of the Evaluation Year. Requests for extension and the approval of such extension must be in writing. Approval of an extension will be considered an amendment of the Letter of Offer.

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- (v) Faculty who have received an extension of the probationary period can apply for promotion only once during the period of the extension, either during or at the end of the probationary period. The recommendation of the University Tenure and Promotions Committee, Dean, and Provost has the same standing as recommendations in which the probationary period was not extended.
- (3) Promotion of Tenure Track Assistant Professor to Associate Professor with Tenure and Promotion of Tenure Track Associate Professor to Full Professor
 - (a) Candidates will be simultaneously reviewed for Promotion and Tenure.
 - (b) If Tenure is awarded, then Promotion to the next higher Academic Rank is also granted.
 - (c) The Probationary Period is generally no more than seven years for Assistant Professors and no more than five years for Associate Professors. A faculty member must submit a written notification of intent to stand for Promotion with Tenure to the respective Department Chair by May 15 of the year specified in the Letter of Offer or amendments thereto.
 - (d) If notification of intent to stand is not given by the faculty member as required, Notice of Non-reappointment will be issued as specified herein.
 - (e) Each Candidate for Promotion with Tenure is evaluated individually based upon the achievements described in the Dossier according to the criteria and standards appropriate to the Candidate's field and any appropriate terms and conditions cited in the Candidate's Letter of Offer.
 - (f) In evaluating the Candidate's performance, the weighting of the evaluation areas may vary. Consideration in weighting will be given to the mission of the University and College, the Department, and the demands of the

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appropriate discipline. Both quality and quantity of the individual's contribution will be taken into consideration.

- (g) In order to achieve Promotion with Tenure, the Candidate must exhibit sustained excellence and distinction in at least one of the two areas of faculty activity: research or teaching. Proficiency is required in all other areas of faculty activity. Convincing evidence for these must be exhibited in the Candidate's Tenure and Promotion Dossier and must reflect the weighting of the effort distribution. See Section (I)(1), "Tenure/Promotion Dossier for Tenure Track Faculty".
 - (h) There is no requirement for a faculty member to be promoted to a higher rank following promotion to Associate Professor and the award of Tenure.
- (4) Promotion of Tenured Associate Professors to Full Professor
- (a) Faculty must be Tenured prior to seeking Promotion to Professor.
 - (b) Five years in rank is generally the minimum time in rank before which a faculty member may be considered for Promotion to Professor. The Dean may, after consultation with the Department Chair, reduce the time in rank requirement for a faculty member whose outstanding performance would justify the reduction in time prior to consideration for Promotion.
 - (c) Each Candidate for Promotion is evaluated individually based upon the achievements described in the Dossier (refer to Section (I)(1), "Tenure/Promotion Dossier for Tenure Track Faculty") according to the criteria and standards appropriate to the Candidate's field.
 - (d) Promotions are made after contributions commensurate with the higher rank have been achieved. The Tenure and Promotions Committee will consider any specific exceptions or requirements set forth in the faculty

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member's Letter of Offer or any amendments thereto, and the annual written reviews.

- (e) A successful Candidate for Promotion to full Professor should be recognized as an authority in a given field and be regarded as a national or international expert and leader. Promotion from Associate Professor to full Professor is based upon recognition of the Candidate's academic maturity; sustained and distinguished accomplishments in education, scholarship, and service; strong University commitment; and distinction in leadership roles in education, scholarship, and service at the University.

(5) Standards and Documentation for Tenure and Promotion

Standards and documentation for Tenure and Promotion include, but are not limited to:

(a) Research and Scholarly Accomplishments

(i) The Standard

- (a) Research and scholarly activities are central to the mission of the University. Given the complexity of the University and its component Colleges and the great diversity of talent within them, it is imperative that various kinds of academic work be recognized through a broad vision of scholarship. Scholarship includes, but is not limited to, the scholarship of discovery, integration, application, and teaching. Scholarship and research may also include participation in clinical trials and commercialization, patent, and technology transfer activities. Participation in clinical trials, commercialization, patent, and technology transfer activities are primarily supportive for Promotion decisions and, while they weigh importantly in Tenure decisions, are

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not solely sufficient for the granting of Tenure. Clinical improvement and innovation activities done in a scholarly manner and acknowledged to be of regional, national, or international importance are important indicators of distinction and merit consideration. Regardless of the type of scholarship, it should possess the quality of excellence, be peer-reviewed, and be disseminated in the public domain.

- (b) Creative scholarly activity includes both original research resulting from investigative work or other peer reviewed contributions to the professional and scientific literature. Faculty shall conduct original research and other scholarly activity. The hallmark of creative scholarly activity lies in the peer reviewed “written” word. Written work which is not peer reviewed may support a faculty member’s Dossier, but by itself is insufficient evidence of excellence in scholarly activity. Similarly, oral or poster presentations may support a faculty member’s Dossier but are insufficient evidence of proficiency or excellence in scholarly activity.
- (c) Original research is studious inquiry or examination.
- (d) Faculty shall conduct research and other creative scholarly activity that clearly demonstrates high quality and conforms to the highest ethical and legal standards. Quality is stressed over quantity.
- (e) Standards and expectations for scholarship may differ from one field to another. The standards and expectations should be clearly identified for faculty by the Department Chair and during the Tenure Advisory Committee

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consultations and for the Tenure and Promotion Committee in the Tenure Advisory Committee’s summative letter.

- (f) Clinical innovation and improvement performed in a scholarly fashion and acknowledged to be of regional, national, and international importance are additional evidence of readiness for Promotion.

(ii) Documentation

There must be evidence that the Candidate is engaged in creative scholarly activity in areas appropriate to the faculty member’s appointment(s), Letter of Offer, and if appropriate, graduate faculty status. Such activities include, but are not limited to:

- (a) Scholarly publications. These include publications in journals, books, chapters, monographs, case reports, literature reviews, annotated bibliographies, abstracts, and technical reports. Publications will be assessed in terms of quality and quantity and the Candidate's role in the work. The quality of the publications will be evaluated by criteria such as: whether the publication was refereed; whether the publication was invited; the metrics that evaluate excellence in a field of science, reputation and circulation of the journal or book or monograph; the scope of the periodical's audience; the number of citations; originality, creativity, and impact on the field; unsolicited independent reviews; or solicited outside professional reviews.
- (b) Research support. This includes financial support generated through grants, contracts, and other peer reviewed awards.

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- (c) Scholarly presentations. These include, but are not limited to lectures, poster presentations or educational displays at professional meetings, colloquia, workshops, seminars, and conference presentations.
- (d) Research collaborations. These include, but are not limited to collaborations between departments, colleges, and universities regionally, nationally, or internationally.
- (e) Research consultations. These include, but are not limited to, providing consultation in study design, data analysis, measurement, and evaluation.
- (f) Intellectual property development and activities in support of technology transfer and commercialization. Documentation of the development of new intellectual property including patents, conduct of clinical trials, and commercialization of University intellectual property provide additional positive evidence for Promotion and Tenure decisions.
- (g) Documentation of innovative clinical activities supported by scholarly publications, presentations and grant and contract activity; commercialization efforts; clinical trial excellence, and recognition by peers such as fellowship in professional organizations or recognition of clinical acumen, leadership in quality improvement efforts on a large scale and regional, national, and international reputation are also important elements for consideration.

(b) Educational Accomplishments

(i) The Standard

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Teaching is central to the mission of the University and its component Colleges. A faculty member's teaching is reflected in part by students' achievements. Furthermore, teaching quality is documented by recognition and feedback from students, alumni, and peer evaluation. Positive contributions to the learning environment and curriculum may support a faculty member's record of teaching. Service on and recognition by national educational bodies are also important aspects of teaching excellence. The extent and effectiveness of educational accomplishments will be evaluated through review of relevant evidence, which may include student performance on examinations; recognition of excellence in teaching; service on nationally prominent task forces, committees, or study sections; supervisor, peer, and student evaluations.

(ii) Documentation

There must be evidence that the Candidate is engaged in educational activities that are appropriate to the faculty member's appointment(s), Letter of Offer, and if appropriate, graduate faculty status. Such activities include, but are not limited to:

- (a) Course or clerkship director;
- (b) Presentation of lectures, seminars and tutorials;
- (c) Preparation of syllabi, course, and examination materials remediation;
- (d) Academic advising and career guidance;
- (e) Obtaining external funding for educational activities; and

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(f) Demonstrating substantial ability in presenting concepts and information; teaching problem solving, research and laboratory techniques; developing professional attitudes; evaluating students and conducting remediation, innovative curriculum, and teaching initiatives, nationally or internationally prominent educational activities.

(c) Service Accomplishments

(i) The Standard

Service oriented to the needs of the University, College, and the respective Departments, are expected for faculty, regardless of rank and academic appointment.

(ii) Documentation

(a) Service activities. Faculty members are expected to be active participants in service activities. Service activities include, but are not limited to:

- (i) Membership on committees, boards, councils, etc;
- (ii) Professional service activities such as service on research review committees, ad hoc research reviews, editorial board membership, editorship, editorial reviews, etc;
- (iii) Service to the community; and
- (iv) Service to governmental bodies on biomedical, public health, and community health topics.

(b) Planning, organizing, and implementing service projects.

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- (c) Service support. This includes support for service activities generated through grants, contracts, and other sources.

(E) Structure and Function of Tenure Advisory Committee

(1) Purpose

The purpose of the Tenure Advisory Committee is to establish a structure for progressive, comprehensive assessment and consistent guidance for a probationary faculty member. The Tenure Advisory Committee must provide probationary faculty with a sound understanding of all criteria and standards, a realistic evaluation of the faculty member's progress toward achieving necessary performance benchmarks, and assist the faculty member by making recommendations concerning academic and professional development during the Probationary Period. This Committee is advisory to the faculty member and to the respective Department Chair.

(2) Composition

- (a) A Tenure Advisory Committee will be appointed for each probationary faculty member. Depending on the number of Tenured Faculty and the academic disciplines of the faculty within a given College or Department, the respective Dean may appoint a single College Advisory Committee for all probationary Tenure Track Faculty, or the Dean may delegate this authority to a Department Chair who may construct more discipline specific Tenure Advisory Committees for each individual faculty member in a given department.
- (b) The Advisory Committee will be composed of at least three Tenured Faculty of the University who are knowledgeable of the Tenure process, criteria, and standards. The Tenure Advisory Committee may include

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Tenured Faculty from outside the probationary faculty member's department but may not include the faculty member's Department Chair.

(3) Meetings

- (a) The Tenure Advisory Committee will meet at least annually with the probationary faculty member. To the extent possible, meetings should occur in time to allow for input into the annual review of the faculty member's performance by the Department Chair.
- (b) The Tenure Advisory Committee will be chaired by a member selected by the Dean or the Department Chair as appropriate.

(4) Reports

- (a) The probationary faculty member shall submit a progressively updated Tenure Dossier to the Tenure Advisory Committee Chair at least 2 weeks in advance of the meeting with the Committee. The Dossier should, to the extent appropriate, mirror the format of the "Tenure/Promotion Dossier for Tenure Track Faculty" outlined in Section (I)(1).

The Dossier will be reviewed with the faculty member at the time of the Advisory Committee meeting to help the probationary faculty member gain a better understanding of all of the criteria and standards and to assist the faculty member to submit information more comprehensively and uniformly to the Tenure and Promotion Committee.

- (b) The Tenure Advisory Committee Chair will provide an annual written report to the Department Chair which will include an assessment of the faculty member's progress toward Tenure and Promotion. The report is to be evaluative with specific recommendations for promoting the faculty member's progress toward standing for Tenure and Promotion. The report must not be a simple listing of the faculty member's achievements. The

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Committee Chair will keep a record of all the reports submitted to the Chair.

- (c) The Department Chair will consider the Tenure Advisory Committee Report when conducting the annual performance review of the faculty member, and when formulating a letter of recommendation at the time of Tenure review.
- (d) The Committee Chair shall submit a summative report that sets forth the Committee's assessment of the Candidate's readiness to stand for Tenure and Promotion to the Candidate's Department Chair, in an unalterable electronic file, in sufficient time to allow for the Chair to include this information in a recommendation to the University Tenure and Promotion Committee.

(F) Structure and Function of the University Tenure and Promotions Committee

(1) Standing Committee of the University

The University Tenure and Promotions Committee (UTPC) is a standing committee of the University. The rules of the University standing committees (per Appendix G) will apply unless superseded herein.

(2) Composition and Chair

(a) Voting membership includes:

- (i) Tenured faculty members appointed by the President; there shall be no more than four (4) members at the Associate Professor rank or below. There will be no College Deans nor Department Chairs on the Committee. No Provost, Vice Presidents, or equivalent senior executive leadership roles, shall serve as a member of the UTPC.

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- (ii) A variety of members representing the breadth of departments and faculty with at least one (1) from each department with tenure track faculty, and with at least two (2) from each College which grants tenure.

(b) Officers

- (i) The Chair shall be a tenured professor elected by a majority vote of the UTPC. The Chair is a voting member of the Committee who will abstain from voting unless the votes of the other committee members are tied.
- (ii) A Vice Chair shall be a tenured professor elected by a majority vote of the UTPC. The Vice Chair plays the same role as any other member of the Committee if the Chair of the Committee is chairing the meeting. If the chair is absent at a meeting, the Vice Chair assumes the responsibilities of the Chair, including not voting unless the votes of the other committee members are tied.

(3) Conflict of Interest - Criteria

Any member of the UTPC must disclose all real and/or perceived conflict of interest of any of its members to the Committee. A Committee member has a conflict of interest if he/she:

- (a) Is related to the person who is evaluated or has a close comparable relationship.
- (b) Has a substantial financial interest in any evaluated activities by the person who is evaluated, both personal and professional.
- (c) Within the past three (3) years, has collaborated with or has been in a close mentoring relationship with the person who is evaluated, or is

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dependent in some way on the Candidate's services.

- (d) Within the past three (3) years, has played a major professional role as part of a funded research project with the person who is evaluated.
 - (e) Is preparing to enter into a relationship that would be defined as a conflict in accordance with the above guidelines.
- (4) Conflict of Interest – Tenure Advisory Committee
- (a) No conflict of interest is presumed to exist if the UTPC member is currently part of the TAC for the Candidate. However, if the UTPC member is the Chair of the TAC and the single author of a final TAC report, that member will recuse themselves from a formal vote on the Candidate.

(5) Conflict of Interest – Evaluation Procedure

The UTPC shall evaluate a member's declared or perceived conflict of interest to determine if the conflict is substantial enough to exclude the member from discussion and/or voting on a pending tenure case. This evaluation shall include:

- (a) Examination of the factors that surround the potential conflict.
- (b) In the presence of the affected member and with the member's participation, discussion of these factors.
- (c) In the absence of the affected member, discussion of these factors and related circumstances and a vote on whether the affected member can:
 - (i) Contribute to the discussion of the pending tenure case; and
 - (ii) Vote on the pending tenure case.

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(6) Criteria for Candidate Review and Voting

- (a) Each Candidate for tenure and/or promotion will be reviewed by no fewer than five (5) voting members.
- (b) The Chair, with the concurrence of the Committee, may appoint an ad hoc member or members who meet(s) the criteria for voting membership to review and vote on Candidates in order to meet the minimum number of members.
- (c) When the Committee is considering a Candidate for tenure and promotion to Associate Professor, Associate Professors who are committee members will discuss and vote.
- (d) When the Committee is considering a Candidate for promotion to Professor, Associate Professors on the Committee may participate in the discussion but will not vote.

(7) Confidentiality

- (a) In order to assure that Candidates for Promotion and Tenure receive a thorough and fair review of their qualifications and accomplishments, Tenure and Promotion Committee materials and deliberations must be accorded the highest degree of confidentiality.
- (b) Committee members agree:
 - (i) To accept the responsibility to protect the integrity of the Tenure and Promotion process for all Candidates.
 - (ii) That Tenure and Promotion materials are crucial to the consideration of Candidates' Tenure and that it is necessary to

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maintain the highest degree of confidentiality for these materials. Specifically, members agree to:

- (a) Not discuss any information about Candidates except in Tenure and Promotion meetings.
- (b) Be fair, accurate, and honest in the management of information germane to the review process.
- (c) Guard against inaccuracies, carelessness, bias, and distortion made by either emphasis or omission of information.
- (d) Strive to treat issues impartially and handle controversial subjects dispassionately.
- (e) If requested, provide accurate and complete reports on Candidates to the respective College Dean, Provost, President, or University Counsel.

- (c) A breach of this confidentiality will be considered a serious violation of the Faculty Code of Conduct.

(8) Responsibilities

- (a) The Tenure and Promotions Committee reviews and evaluates the credentials of applicants for Tenure or Promotion.
- (b) Evaluation. The Tenure and Promotions Committee may:
 - (i) Interview appropriate individuals;

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(ii) Request additional information from further outside references;
and

(iii) Request any additional information pertinent to its evaluation.

(9) Recommendations.

The Tenure and Promotions Committee recommendation shall be supported by the majority of members. The Chair of the Committee will generally abstain from voting except in the case of a tie.

(a) The Tenure and Promotions Committee, after its evaluation, may recommend to award or deny Tenure and Promotion to an Assistant Professor; recommend to award or deny Tenure and/or Promotion to an Associate Professor; and recommend to award or deny Tenure to a full Professor and will forward its recommendation to the respective College Dean.

(b) The Dean will review the Candidate's Dossier and the recommendation of the Tenure and Promotions Committee and formulate a recommendation. The Dean will forward the Tenure and Promotion Committee's recommendation along with a recommendation to the Provost, the Candidate, and the Candidate's Department Chair.

(c) In the case of a negative recommendation by the Dean, the Dean will notify the Candidate of the right to appeal as set forth herein.

(10) Appeal by the Candidate

(a) By December 1, the Candidate must notify the Dean and the Provost in writing of the intent to appeal or the right is waived. The appeal will be scheduled in December.

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- (b) The Provost may hear the appeal personally or may appoint a three-member Appeal Committee of Tenured Faculty from the Ad Hoc Appeal Pool (see Section K of this Appendix) to consider the matter. If appointed, the Committee will elect its own Chair and will decide by majority vote to recommend upholding of the recommendation of the University Tenure and Promotions Committee and/or the Dean.
- (c) The Appeal Committee review should be concluded within thirty (30) days from the date the Committee is charged by the Provost.
- (d) Recommendation by the Provost
 - (i) The Provost shall review the recommendations from the Tenure and Promotions Committee, the Department Chair, the Dean, and the Appeal Committee, if appropriate.
 - (ii) By February 1, the Provost will notify the Candidate and the Department Chair and Dean in writing of the final recommendation.
 - (iii) By February 1, the Provost will submit all positive recommendations for the award of Tenure and/or Promotion to the President for transmittal to the Board of Trustees for consideration at their next scheduled meeting.
 - (iv) Following Board of Trustees approval, the Office of the Provost and the Candidate, Department Chair, and Dean will be notified.
 - (v) The Department Chair is responsible for notifying Human Resources and Accounting of any changes in status.

(J) Required Dossier Template for Tenure and/or Promotion Review

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The Dossier template may be amended as necessary by the UTPC to provide for appropriate criteria for Tenure and Promotion.

(1) Tenure/Promotion Dossier for Tenure Track Faculty

The Dossier must be complete at the time of submission. It is the responsibility of the faculty Candidates to present sufficient evidence of the scope and quality of their involvement in the curriculum, their scholarship, and their service. For section (d) “Contributions to the Educational Programs of the University”, Candidates should designate each activity as related to the professional programs (i.e., medicine or pharmacy) or graduate programs (i.e., Ph.D., master’s, or graduate certificate) or another program. The Dossier shall include the following:

- (a) Cover page - page 1 of the dossier (see sample at the end of this Section).
 - (i) Full name
 - (ii) Current department
 - (iii) Current rank
- (b) Table of Contents – page 2 of the dossier (see sample at the end of this Section).

All pages of the Dossier must be numbered. All sections must be referenced by page number in the table of contents.

(c) Dossier Narrative

Write approximately two (2) pages for each of the three (3) evaluation areas describing how the Candidate has developed as an academician in each area.

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(d) Contributions to the Educational Programs of the University

- (i) List all lecture, seminar, and tutorials in which the Candidate was involved. Specify course name, dates taught, sponsoring institution, role in the activity and whether the activity was at the professional program (i.e., medicine or pharmacy), graduate program (i.e., Ph.D., master's, or graduate certificate) or other programs. List all activities separately specifying the graduate degree program or certificate.
- (ii) Document the Candidate's involvement in the preparation of syllabus, course, and examination materials. Specify the course name, sponsoring institution and the Candidate's role in the activity. List all activities separately, specifying the graduate degree program or certificate.
- (iii) Describe the Candidate's involvement in remediation. (Do not use student names.)
- (iv) Describe the extent of any academic advising. List any graduate students; advisees and their current status (degree Candidate or recipient, recipients of awards, other special recognition). List graduate level activity separately specifying the graduate degree program or certificate.
- (v) Describe any career guidance activities. (Do not use student names.) List all activities separately specifying the graduate degree program or certificate.
- (vi) List all external funding the Candidate has ever received for educational activities; include funding from years at the University and funding from years before coming to the University. Include

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source, title, period, and amount of award. List any grant proposals currently pending.

(e) Research and Scholarly Accomplishments

- (i) Describe in two pages or less any active interests in research and other forms of scholarship. Include collaborations with other faculty (NEOMED and other institutions), postdoctoral associates, and graduate or medical students.
- (ii) List all publications and other scholarly output. Separate them into the categories (e.g., journals, books, chapters, monographs, case reports, literature reviews, annotated bibliographies, technical reports, and abstracts. Note whether the publication was refereed, invited or otherwise outstanding. Provide evidence of the quality of publications as previously indicated in Appendix B – University Faculty Bylaw Appointment, Promotion and Tenure. Provide up to five publications that are significant and representative of all scholarly activities. (Attach copies to back of Dossier.)
- (iii) List all lectures, invited addresses, poster presentations or educational displays at professional meetings, colloquia, workshops, seminars, and conference presentations.
- (iv) List all professional consultations in study design, data analysis, measurement, and evaluation.
- (v) List any support generated through grants, contracts, and other sources. List the source, title, period, and amount of award. Priority scores/percentile rankings of any proposals approved, but not funded, may also be included. List any grant proposals currently pending.

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- (vi) List all Intellectual property development and activities in support of technology transfer and commercialization. Documentation of the development of new intellectual property including patents, conduct of clinical trials, and commercialization of University intellectual property provide additional positive evidence for Promotion and Tenure decisions.
- (f) Service Related to the University
 - (i) List memberships on NEOMED/consortium committees, boards, councils, etc. List other service to NEOMED.
 - (ii) List professional service activities such as service on research review committees, ad hoc research reviews, editorial board membership, editorship, editorial reviews, etc.
 - (iii) Document service to the community on biomedical topics.
 - (iv) Document service to governmental bodies on biomedical topics.
 - (v) Describe any involvement in planning, organizing, and implementing service projects.
 - (vi) List support for service activities generated through grants, contracts, and other sources. Include the source, title, period and amount of award, as well as any priority scores of approved, but not funded, proposals. List any grant proposals currently pending.
- (g) Professional Standing
 - (i) List all degrees earned. List the complete name and address of the institution granting the degree and dates of attendance.

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- (ii) List all professional licenses or certificates.
- (iii) List all honorary degrees. List the complete name and address of the institution granting the degree and dates of attendance.
- (iv) List all fellowships and post-doctoral experiences. List the complete names and addresses of past professional employment, including the names of supervisors and dates of appointment.
- (v) List all honors and awards.
- (vi) List all offices held in professional societies.
- (vii) List all invited memberships in honorary societies.
- (h) Any other information or materials that support the Candidate's application.
- (i) Attestation

This statement must appear as the final entry of the Dossier (before copies of any publications).

"I hereby submit this Dossier to the University Tenure and Promotions Committee as evidence in support of my candidacy for Tenure. I attest that the information provided herein is true and accurate to the best of my ability. I further certify that this Dossier was complete when submitted and contains ____ pages."

Signature

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Date

(j) Sample “Cover Page”

Name of Faculty Member
Current Rank
Department
Application for Tenure or Promotion

Date Submitted
Date Received

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(k) Sample “Table of Contents”

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(K) Procedures for Processing Appointments, Promotions, and Tenure

(1) Initial Appointment

- (a) When recommended by the Dean of a given College, the Provost may approve the creation of a Tenure Track Position.
- (b) Where appropriate, when a Tenure Track Position has been authorized, the respective Department Chair will propose a Search Committee to the Dean.
- (c) The Search Committee after comprehensive review of the Candidates shall forward its recommendation for Appointment to the respective Department Chair. The Department Chair will forward a recommendation to the Dean along with the recommendation of the Search Committee.
- (d) Appointments, which have been approved by the Dean, shall be forwarded to the Provost. If the Provost concurs, the recommendations will be forwarded to the President for transmittal to the Board of Trustees for final approval or ratification.

(2) Tenure and/or Promotion

- (a) A Candidate has the right to:
 - (i) A full, impartial, and confidential review of the Candidate's credentials;
 - (ii) Receive a copy of the Tenure and Promotions Committee's report and the recommendation of the Dean; and

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- (iii) Appeal to the Provost a recommendation of the Dean to deny Promotion or Tenure.

(b) Notification for Eligibility to Stand for Tenure and/or Promotion

(i) Notification

The Department Chair will confer in May with faculty who will or must stand for Tenure and/or Promotion consideration in the calendar year.

(ii) Intent to Stand for Tenure or Promotion

(a) The process of review for Tenure and/or Promotion will begin on May 15 of the year specified in the Candidate's Letter of Offer or amendments thereto.

(b) By May 15, a Candidate for Tenure and/or Promotion shall notify the Department Chair in writing of the intent to stand for Tenure and/or Promotion.

(iii) Process of Evaluation for Tenure and/or Promotion

(a) Independent External Evaluators

(i) By May 15, the Candidate must submit a list of at least 3 suggested Independent External Evaluators to the Department Chair.

(ii) By June 1, a list of at least five Independent External Evaluators will be identified by the Candidate's Department Chair and transmitted by the Chair to the Candidate. This list may or may not include

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Independent External Evaluators from the Candidate's list.

- (iii) Within 5 working Days, Candidates have the right to review the list of Independent External Evaluators and provide, in writing, reasons why any of the proposed evaluators should not be contacted.
 - (iv) The Department Chair, in consultation with the Dean, will determine whether the Candidates challenge to an Independent External Evaluator will be upheld, and whether any Independent External Evaluator should be removed from the list and replaced with another Independent External Evaluator.
 - (v) If an Independent External Evaluator is removed from the list, another may be added and the same right of the Candidate to challenge will apply.
 - (vi) By June 15, this process shall be completed.
- (b) Preparation of Materials for Independent External Evaluators
- (i) By May 15, the Candidate will submit to the Department Chair and the Office of the Provost an unalterable electronic file (e.g., PDF with a security setting) containing a Curriculum Vitae and an unalterable electronic (e.g., PDF) file of up to five significant and representative sample publications, of the Candidate's work, for external review. Candidates will also include a two page or less

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narrative summary providing a synthesis of the importance of their work.

- (ii) Each Candidate will be asked to sign a waiver of access form for all Independent External Evaluations.
 - (iii) The Office of the Provost will transmit the unalterable electronic file by June 15 to the Independent External Evaluators. The Office of the Provost should request confirmation from the Independent External Evaluator verifying receipt.
 - (iv) Evaluation letters must be returned to the Office of the Provost by August 15.
- (iv) Transmission of Completed Dossier and Associated Files
- (a) By August 15, the Candidates shall submit a complete and unalterable electronic (e.g. PDF with a security setting) Dossier to the respective Department Chairs (see Appendix A). The original Dossier must be reviewed for its veracity and completeness and attested to and signed by the Candidate. The Chair of the Candidate's Tenure Advisory Committee will transmit to the Candidate's Department Chair a summative letter of evaluation in an unalterable electronic file.
 - (b) By September 15, the Department Chair will transmit to the Tenure and Promotions Committee Chair via the Office of the Provost a letter of evaluation, Candidate's Dossier, and Curriculum Vitae and Tenure Advisory Committee Summative Report in an unalterable electronic file (e.g. PDF

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with a security setting). A copy of the Candidate's initial Letter of Offer shall be provided to the Committee by the Office of the Provost.

- (c) By the end of the first full week in November, the Tenure and Promotions Committee Chair will forward in writing the Committee's recommendation and reasons therefore to the respective Dean.
- (d) The Dean may seek confidential advice and counsel to obtain further information prior to rendering a final recommendation to the Provost.
- (e) On or about November 21, the Dean will notify the Candidate, the Department Chair, and the Provost in writing of the following and will provide a copy of:
 - (i) The Tenure and Promotions Committee's recommendation;
 - (ii) The respective Dean's recommendation and the reasons therefore; and,
 - (iii) Notification of the right to appeal a negative recommendation by the Dean to the Provost.

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(L) Ad Hoc Appeal Pool

Section (F)(10)(b) of this Appendix requires the Provost to hear an appeal or to appoint a three-member Appeal Committee of Tenured Faculty to consider the matter.

(1) Procedure to Appoint Ad Hoc Appeal Pool

To ensure the availability of qualified faculty to review an appeal, the Provost will appoint of pool of:

- (a) Six (6) NEOMED tenured faculty members, of which no more than two (2) should be at the Associate Professor rank; and,
- (b) Two (2) non-NEOMED faculty members who hold tenure at their respective institutions.

(2) Members

- (a) Members of this pool may be activated to serve on the Appeal Committee of Tenured Faculty, but no more than one (1) non-NEOMED faculty member from this pool is to be appointed to the Appeal Committee.
- (b) Any member of the pool who is appointed to hear the appeal will adhere to the same conflict of interest guidelines as set forth in Section (F)(3) of this Appendix.
- (c) Any member of the pool will use the same criteria and rigor for review of the appeal as those used by the UTPC.