

# NAVIGATING APPOINTMENTS AND PROMOTIONS AT HACKENSACK MERIDIAN SCHOOL OF MEDICINE AT SETON HALL UNIVERSITY

## A. Appointments and Promotions

### 1. Who is eligible for appointment? Candidates\* must be in one of the following categories:

- Be employed by Seton Hall University (SHU) or the School of Medicine (SOM)
  - Be employed or volunteer faculty at a Hackensack Meridian Health (HMH) affiliate and/or a network hospital or affiliate
  - Possess medical staff privileges at an HMH Hospital.
  - Be a participant in a legacy SHU graduate medical education hospital program as of November 11, 2014. Currently the only legacy medical education program is at St. Francis Medical Center in Trenton.
  - Be nominated by one of the two HMH co-Chief Academic Officers **and** the appropriate SOM Chair.
  - Be any other professional who is approved in writing by both the SHU Provost (or designee and the HMH Chief Executive Officer (or designee). At the discretion of the Provost and/or HMH CEO, this role may be the Dean (or designee).
- \*All candidates must pass a background check.

### 2. What are the categories of appointment?

- **Core Faculty:** meet the criteria outlined in “1” (above)
- **Adjunct Faculty:** (two-year term) faculty with a primary appointment at another institution, and plans to actively teach or participate in research in the SOM. Renewals are at the discretion of the SOM.
- **Visiting Faculty** (one-year term): faculty with a primary appointment at another institution who are visiting for a limited period to teach or participate in research at the SOM. The initial term is one year (or less) with an option to renew. Renewals are at the discretion of the SOM.
- **Guest Scholars** (two-year term): individuals who are invited to teach in their respective field of expertise. Guest Scholars are associated with an academic department but are not awarded a specific rank.
- **Emeritus Faculty** (not time-limited): individuals who have a history of contributions to the SOM and have retired from their professional activities but continue to contribute to the academic mission.

### 3. What are the Core Faculty ranks for appointment and what are their terms? Faculty considering an initial application for faculty appointment or promotion should review the criteria for the requested rank. The guidelines for criteria established by the SOM are available on the Office of Faculty website ([www.shu.edu/medicine/faculty/index.cfm](http://www.shu.edu/medicine/faculty/index.cfm)). Each department may have additional requirements. It is desirable, but not mandatory, to demonstrate excellence in all three areas of teaching, scholarship, and service. It is expected that a candidate demonstrates excellence in one area and strengths in the others. Candidates should read the “Criteria for Appointments and Promotion” document ([www.shu.edu/medicine/faculty/upload/Criteria-for-Appointments-and-Promotion.pdf](http://www.shu.edu/medicine/faculty/upload/Criteria-for-Appointments-and-Promotion.pdf)).

- **Instructor** (six-year appointment). A Master's degree or its equivalent in a discipline recognized at the SOM or an HMH clinical facility, and evidence of potential for effective teaching either as attested by recommendations or documented by prior activity.
- **Assistant Professor** (six-year appointment). A doctoral degree or the commonly accepted terminal degree in a discipline or field from an accredited institution; M.D., D.O., Ph.D. or equivalent with completion of residency or fellowship resulting in board eligibility or certification where applicable; evidence of teaching effectiveness or potential to teach effectively; evidence of scholarship (including research) or potential to conduct scholarship (including research); and evidence of meaningful service to institution, profession, and/or the community.

- **Associate Professor** (six-year appointment). In addition to the credentials for Assistant Professor, active board certification where applicable; six years of significant, relevant teaching experience; scholarship, including scholarly peer-reviewed publications indexed in PubMed; research or other creative work in the appropriate discipline or field; and/or service to the SOM, HMH, the profession and/or the community. Peer recognition for excellence at a regional and/or national level is desirable. In exceptional cases, the Provost, upon recommendations from the Dean of the SOM, may wave teaching experience for an initial appointment at this rank.
- **Professor** (six-year appointment). In addition to the credentials for Associate Professor: six additional years of significant, consistent excellence in teaching; demonstrated professional recognition of meritorious peer-reviewed publications indexed in PubMed; scholarship (including research) or other creative work in the appropriate discipline or field; service and/or leadership at the SOM, HMH, the profession, and/or the community. Promotion to this rank rests on proven ability and accomplishments, and evidence of peer recognition for excellence at a regional, national and/or international level.

#### 4. What happens at the expiration of the term?

- **Expiration (Termination) of Appointment:** Appointments will automatically expire at the end of the term for faculty who do not apply for reappointment or promotion, or for faculty who have left the institution. The Office of Faculty will notify the Faculty Member, as well as the Primary Department Chair, of the expiration date at least 12 months prior to the end of the term.
- **Reappointment:** Assuming continuing eligibility as a Faculty Member at the SOM, there is no limit to the number of appointment renewals for the same rank (reappointments) for individuals within any rank. Reappointments are for the same term duration, except for Visiting Faculty, who are generally appointed for a one-year period, with a maximum of one appointment renewal.
- **Eligibility for promotion:** Only Core Faculty Members are eligible for promotion. Except under exceptional circumstances, a six-year minimum duration of service in rank is required prior to consideration for promotion of Instructors, Assistant Professors, and Associate Professors. This period of service may be fulfilled at the SOM or at any U.S. or LCME-accredited medical school or academic institution before promotion at the SOM. Candidates for promotion will be evaluated on an individual basis by the Chair of the Primary Department and the Chair of the Appointments and Promotions Committee (APC).
- **Non-renewal of a Faculty Appointment:** If a Department Chair recommends to the Dean of the SOM that a Faculty Member's appointment should not be renewed, the following procedure must be followed:
  - At least four months before the expiration of the term, the Faculty Member will be notified by the Dean of appointment non-renewal. The Dean shall indicate the reasons for non-renewal in writing to the Faculty Member. These reasons will serve as the basis for the SOM's case for non-renewal if appeal is brought by the Faculty Member.
  - Should the Dean deny renewal of the Faculty Member's appointment, the decision of the Dean may be appealed to the Provost. The appeal must be made in writing, by letter addressed to the Dean of the SOM, within 30 calendar days of the date stated in the Dean's non-renewal letter.
  - The right to appeal the Dean's decision to not renew a term of appointment is limited to Core Faculty Members. A decision by the Provost not to renew the Faculty Member is final and not subject to appeal.

### B. Applications for Appointment (Initial, Reappointment or Promotion)

#### 1. To Initiate an Application

Faculty initiate an application for an initial faculty appointment, reappointment or promotion, by filling in the application form and uploading a current curriculum vitae (CV) prepared using the SOM format on the Office of Faculty website ([www.shu.edu/medicine/faculty/index.cfm](http://www.shu.edu/medicine/faculty/index.cfm)). Faculty initiate the application (for appointment, reappointment or promotion) on their own, but it is strongly advised

to obtain consent from the relevant Department Chair before submission. The Chair of their Primary Department will be notified that the application has been initiated and must approve moving the application forward. An appointment in a second department may be requested as well, but requires written consent from the Chairs of both the primary and secondary departments (refer to the last section of this document). For all promotions, the Appointments and Promotions Committee (APC) will convene an ad hoc committee.

## 2. Preparing your CV and Bibliography

The SOM format for CVs can be found on the Office of Faculty website ([www.shu.edu/medicine/faculty/index.cfm](http://www.shu.edu/medicine/faculty/index.cfm)). Applicants are urged to apply the template and headings closely. Faculty should include information about their training, current board certification status, teaching, scholarship and service activities in the CV for their initial and subsequent appointments at any rank. These activities should be described in more detail in the Faculty Portfolio. The portfolio is NOT required for an initial appointment to Instructor, Assistant Professor, or Associate Professor. It is ONLY required for promotion to Assistant Professor, Associate Professor, or Professor (**see Table 1**).

## 3. Interview with the Primary Department Chair

- **Initial applications** are reviewed by the Office of Faculty and forwarded to the appropriate Chair of the Primary Department for review. An interview with the Chair (or designee) should be arranged to discuss the candidate's initial appointment rank and review of the CV.
- **Reapplication:** Faculty and the Chair of their Primary Department are notified at least 12 months prior to the expiration of a term of appointment. At least 10 months prior to the end of the applicant's term, the Faculty Member should discuss with their Department Chair (or a designee) whether reappointment at the same rank or promotion is appropriate.
- **Promotion:** If promotion is to be considered, an interview with the Chair (or designee when appropriate) should be arranged to discuss the proposed promotion, CV, and Faculty Portfolio. Candidates for promotion may not be presented by a Chair-Designee, if that Designee is of lower academic rank than the candidate seeking promotion.

## 4. The Faculty Portfolio

- **Why prepare a Faculty Portfolio?** The portfolio is used as "evidence" in the faculty promotions process. It will be used by the Chair during the interview and for preparation of the Chair's letter, and ultimately by the *Ad hoc committee* and full APC. The candidate will not be invited to the APC meeting when their application is reviewed. The Faculty Portfolio, together with the CV, letters of reference (LORs), Department Chair's letter and significant peer-reviewed publications, will speak for the candidate's case for promotion. For promotion, the Faculty Portfolio should highlight the candidate's accomplishments since their prior appointment. It is not required to submit a portfolio for initial applications and reappointment to Professor (**see Table 1**).
- **What does a Faculty Portfolio contain?** Teaching, scholarship and service are highly valued activities at the SOM for all faculty and are required areas of the portfolio. The documentation of involvement and excellence in one or more of these sections is extremely important, as they are used to determine rank and promotion. A Faculty Portfolio is a required element of most faculty appointment applications as shown in the Tables 4.e.ii, 4.e.iii, and 4.e.iv.
- An introductory narrative with supplemental charts can describe the Faculty Member's achievements in the respective area, citing specific examples that support this narrative. The Faculty Portfolio sections should emphasize achievement from the previous term of appointment to the present time. Please review the criteria for rank for each section prior to preparation to ensure that the candidate's Faculty Portfolio demonstrates how the candidate's activities fulfill these criteria.
- **Faculty Portfolio vs. CV: How do they differ?** Remember that the CV documents *quantity* (listing titles, appointments, number of grants, publications, etc.). In contrast, the narrative and numerical data supplied in the Faculty Portfolio can provide evidence of the *quantity, quality* and *impact* of the candidate's work (e.g., innovative programs the candidate has developed, outcomes

of mentoring efforts, evaluations of teaching, etc.). Also, in contrast to the CV, the Faculty Portfolio is a non-linear document; the most recent and most significant activities should be listed first. A well-organized, well-written and concise Faculty Portfolio works in concert with the Candidate's CV to present a complete picture of the candidate's productivity.

- **When should faculty begin to assemble the Faculty Portfolio?** Ideally, begin collecting and filing documentary evidence of teaching, scholarship and service from the first day as a faculty member. Items will likely have been listed in the annual review prepared for the Chair. Assembling the Faculty Portfolio is a prospective activity; it may be difficult to find or reconstruct materials in retrospect at the time the candidate is developing their promotion packet. Many successful faculty members use the simple method of setting aside a file in which anything that might be useful later in documenting their activity and accomplishments as educators is in place. This file may be electronic or paper, and should document evidence of teaching, scholarship and service.
- **How should the Faculty Portfolio be organized?** The portfolio is an electronic document, not more than 10 pages, no smaller than 12pt Arial font, (headings can be in 14 font with 12 font for text, with one-inch margins, single-spaced, one-sided (not including title page, table of contents, and appendices), (see Template on Office of Faculty website) and includes content in each section, although this will vary considerably for individual candidates. Each section should address achievements according to the specific criteria and guidelines established for reappointments and promotions at each rank. Since the CV and Faculty Portfolio must complement each other as part of the overall promotions packet, it is best to use the same font for both documents. Be sure to proofread, use spell-check, number the pages, and avoid non-standard abbreviations. Subheadings and sufficient space between entries will help APC members read your materials more easily. The Office of Faculty periodically sponsors workshops designed to help faculty prepare their CV and Faculty Portfolio.

The portfolio must be concise. Five key examples of the candidate's best work may be included in the appendices to the Faculty Portfolio. Ideally, there should be a title page and a table of contents (not included in the number of pages) to guide the reviewer through the Faculty Portfolio. The table of contents should also include information about what is in the appendices. Tables may be used in areas with significant data, or little involvement. The approved headings for the Faculty Portfolio are the following:

- **Section I Introduction:** A 250-word statement of the candidate's educational philosophy, approach, or unique contribution to teaching, scholarship and/or service to the SOM and its mission. Many Faculty Members decide to write this section last after they have assembled other sections of their portfolio.
- **Section I Teaching:** Discuss achievements and contributions in teaching as suggested by the criteria for teaching by rank. A table or list may be used for documentation, as shown in the example below:

<b>Teaching Activity</b>	<b>Your Role</b>	<b>Learners</b>	<b>Methods</b>	<b>Hours</b>	<b>Sessions</b>	<b>Year/dates</b>	<b>Evaluation</b>
<i>1<sup>st</sup> year small group leader</i>	<i>Course director</i>	<i>First yr med students</i>	<i>Small group didactics</i>	<i>8 hrs/week</i>	<i>25</i>	<i>2016-2018</i>	<i>Average Scores</i>
<i>Ethics course</i>	<i>Small group leader</i>	<i>2<sup>nd</sup> yr med students</i>	<i>Case based discussions</i>	<i>4 hrs/week</i>	<i>10</i>	<i>2015-2016</i>	<i>Average Scores</i>
<i>Resident Training</i>	<i>Ward attending</i>	<i>Residents, Fellows</i>	<i>Bedside rounds</i>	<i>14 hrs/week</i>	<i>10 weeks</i>	<i>2017-2018</i>	<i>Excellent</i>

- **Section III Scholarship:** Discuss scholarly achievements and contributions as described in the criteria for appointments and promotions. A table or list may be used for documentation, as shown in the example below:

Activity	Your role. % time	Funding agency/ Organization	Funding (\$)	Dates	Outcomes
<i>Funded research/Grants</i>					
<i>Unfunded research</i>					
<i>Presentations</i>					
<i>Committees</i>					

- **Section IV Service:** Discuss service achievements and contributions, which can be described in many ways, including a table, as shown in the example below:

Service to the SOM, HMM, SHU	Activity	Role (% time)	Dates	Outcome
Service to the Profession	Activity	Role (% time)	Dates	Outcome
Service to the Community	Activity	Role (% time)	Dates	Outcome

- **The Appendix:** This section will include copies of teaching evaluations (obtained and inserted by the Office of Faculty), up to five original publications, including peer-reviewed articles, monographs, book chapters, reviews, and abstracts that the candidate believes have had the most important impact. These, among others, will likely be listed in one of the sections described above. Additional content for inclusion requires Office of Faculty approval.
- **What should a Faculty Portfolio contain?** Collecting a document does not mean that it should be included in the portfolio; rather, the information it contains should be summarized before being included. The more clearly and succinctly the materials are summarized and presented, the easier it will be for those making decisions about promotion to assess the quality of the candidate's work.

Some materials might lend themselves to narrative description, while others (such as a list of teaching activities, hours, learners, etc.) are better presented in a grid format. Still other material will look best in outline form. This is an individual decision, since not every Faculty Portfolio will be formatted in the same style.

An example of one way to present information on an activity in any given section is to present the material in a table as shown in the examples above, with a brief paragraph describing what you consider to be the most significant activity. This will make it easier for the *ad hoc* committee and APC members to focus on the candidate's most important work. Although the portfolio may contain data on one's activity prior to the initial appointment, Promotion Committees are generally most interested in what has been accomplished from the time of initial appointment to the present.

Examples of content, information and data are listed below. Although these are listed on the CV, they may be represented with other content in the Faculty Portfolio.

- Names, dates, and outlines of lectures or teaching rounds the candidate has given, conferences facilitated, labs taught, number of learners, etc. One can use course outlines or syllabi to record these and to calculate the number of hours taught
- A list of evaluations of the candidate's clinical and/or basic science teaching by students, residents, fellows, as well as Continuing Medical Education (CME) or workshop participants. Candidates should provide the Program Director's names, so that they may be requested by the Office of Faculty and added to the Faculty Member's Faculty Portfolio
- Names and dates and institution for all awards received
- Grants for which the candidate is the principal investigator (PI), Co-PI or Co- Investigator to which the candidate contributes
- Descriptions of administrative responsibilities for clinical or academic programs
- Evidence demonstrating activity/leadership in regional or national programs (names and dates of conferences, workshops, etc.)
- Development of innovative clinical programs
- Descriptions of CME courses or workshops developed/taught
- Objective measures of the quality of clinical practice (provided by the candidate's Department Chair)
- Scholarly peer-reviewed publications indexed in PubMed (H-index)
- Cases the candidate has authored or co-authored
- Course curricula or syllabi the candidate has authored or co-authored
- Websites, computer programs, surveys, or evaluation instruments the candidate uses
- Patient education materials (pamphlets, videos) the candidate has created
- List of committees at the SOM on which the candidate has served and the dates of service
- A list of names of the learners the candidate has advised and/or mentored, collaborative projects, approximate number of hours spent with each learner
- Evidence of mentoring or precepting of learners (examples of written feedback, outcomes of mentoring, etc.)
- Letters from administrators, mentors, and/or colleagues complimenting the candidate's work as an educator. LORs from previous mentees/residents/students may only be included if this professional relationship ended at least 3 years before the LOR is written and if the applicant does not have current supervisory role towards the writer.
- Evidence of attendance at professional meetings related to teaching, faculty development workshops, etc. (Collecting and storing the programs and materials from these conferences in one place makes it easier to locate them later)
- Anything of educational and/or research value that the candidate has developed or for which the candidate has primary responsibility

**5. The Chair's letter:** The Primary Department Chair (or a designee) will be asked to write a Chair's letter to the APC and Dean specifying and endorsing the initial appointment/reappointment/promotion. These letters are highly detailed (on official letterhead, signed, stating the academic rank of both the applicant and the Chair, and describing the applicant's contributions to the SOM); the Chair's letter should make a strong case for reappointment or promotion by reviewing the Faculty Member's career path and impact both inside and/or outside the institution. The Chair must submit this signed letter online for completion of the applicant's packet.

## **6. Letters of Reference (LORs)**

- **Requests for LORs:** All LORs are requested by the Office of Faculty sent under a cover letter from the Dean of the SOM. LOR writers will be provided with the candidate's CV as well as the SOM criteria for appointments and promotion, so they are able to evaluate the candidate according to the SOM's standards.
- **Referee contact information:** The candidate will be asked to provide contact information (name, rank, institution, department, address, email address and contact telephone number) for referees

on the formal appointment and promotion application. For intramural LORs, the candidate should provide a list with 3 more than the required number of referees (e.g., 6 referees for 3 required intramural LORs). For extramural LORs, the candidate should provide a list with 3 more than the required number of referees (e.g., 6 referees for 3 required extramural LORs) (**see Table 1**).

- **Who should be selected to write a LOR?** These letters should be from individuals most familiar with the applicant's activities in teaching, scholarship, and service. It is required that the majority be authored by individuals with recognized expertise in the candidate's discipline or specialty, and at the equivalent rank that is being sought (or higher). Individuals whom you currently supervise have a conflict of interest and should not be asked. The candidate may feel that someone outside of medicine is better suited to write a letter for example a former boss from prior employment. It is suggested that all referee selections be discussed with the Department Chair (or designee) prior to submission.
- **How many LORs are required? SEE TABLE 1.**
  - **For initial applications:** *three extramural* LORs from individuals outside the School of Medicine (SOM), Hackensack Meridian Health (HMH), or Seton Hall University (SHU) are required. IF the applicant's training has been solely internal to the School of Medicine (SOM), Hackensack Meridian Health (HMH), or Seton Hall University (SHU), then *three intramural* LORs will be accepted in place of extramural LORs. Applicants are required to provide contact information for 6 referees (name, rank, institution, department, address, email address and contact telephone number). Once 3 letters of recommendation are received, the application process will be moved forward.
  - **For Reappointments:** If an applicant's initial appointment was not expedited and had included 3 LORs, then no LORs are required for their reappointment. **However, IF an applicant's initial appointment was expedited**, then three extramural LORs from individuals outside the SOM, HMH or SHU are required. IF an applicant's training has been solely internal to the SOM, HMH or SHU, then three intramural LORs will be accepted in place of extramural LORs. Applicants whose initial appointments had been expedited are required to provide contact information for 6 referees (name, rank, institution, department, address, email address and contact telephone number). Once 3 letters of recommendation are received, the reappointment process will be moved forward.
  - **For promotions:**
    - Instructor to Assistant Professor: 3 intramural and 2 extramural LORs are required, in addition to the Chair's letter. (Contact information for 5 intramural referees and 4 extramural referees is required by the Office of Faculty).
    - Assistant to Associate Professor: 3 intramural and 3 extramural LORs are required, in addition to the Chair's letter. (Contact information for 5 intramural referees and 5 extramural referees is required by the Office of Faculty).
    - Associate to Full Professor: 3 intramural and 4 extramural LORs are required, in addition to the Chair's letter. (Contact information for 5 intramural referees and 6 extramural referees is required by the Office of Faculty).Note that intramural letters should come from individuals inside the institution (SOM, HMH, affiliates) and are required for all applicants.
  - For initial and promotion applications, receipt of the LORs is necessary to complete an application packet and required to move an application forward to the review stage.
  - The Ad hoc committee and APC may request additional LORs, if needed, from individuals that they identify.

## 7. Document Requirements for Core Faculty Applications – the “Application Packet”

Candidates applying for appointments other than Core Faculty should consult the Office of Faculty website (see Table 1).

### C. The Appointment and Promotions Process

**1. Review for Completeness:** The Office of Faculty requests LORs, reviews the promotion packet for completeness and alerts the candidate and Chair when all of the LORs, the Chair’s letter, the Faculty Member’s CV and Faculty Portfolio (if required) are received, and the application packet is complete and ready to be assigned to an Ad hoc committee. No further changes to the application are allowed at this point.

**Table 1. Documents Required for Core Faculty Applications**

Application type	Rank	CV	Faculty Portfolio	Chair’s Letter	Letters of Reference (LORs)	
					Intramural (SOM, HMH, SHU) (# required)	Extramural (other) (# required)
Initial, for	Instructor	√		√	3*	3
	Assistant	√		√	3*	3
	Associate	√		√	3	3
	Professor	√		√	3	3
Reappointment (if initial was expedited)	Instructor	√	√	√	3*	3
	Assistant	√	√	√	3*	3
	Associate	√	√	√	3	3
	Professor	√		√	3	3
Reappointment (if initial was not expedited)	Instructor	√	√	√		
	Assistant	√	√	√		
	Associate	√	√	√		
	Professor	√		√		
Promotion, to	Assistant	√	√	√	3	2
	Associate	√	√	√	3	3
	Professor	√	√	√	3	4

\*Only applicants who were exclusively educated and trained at the SOM/HMH system may have exclusively intramural LORs

### 2. Chair APC review

- Completed application packets are reviewed by the Chair of the SOM APC.
- Applications for **Instructor** or **Assistant Professor** are presented by the APC Chair to the APC Committee for a review and vote for appointment at the next APC meeting. Applicants may be

approved by a simple majority vote by the APC if a quorum is established at the time of the vote, with the APC Chair voting in the circumstance of a tie.

- Applications for senior ranks (Associate or Professor) will be reviewed by the Chair of the APC and assigned to an **Ad hoc committee** for review, rank recommendation and presentation to the APC for a vote. Applicants may be approved by a simple majority (half plus one). A *simple* majority, with quorum (defined as at least 9 voting members out of 17) at the time of the vote, is required to recommend promotion.

### 3. Ad hoc Committee review:

- **Who serves on the Ad hoc committee?** Each Ad hoc committee consists of two senior (Associate and/or Full Professors) Faculty Members – one who is a member of the APC and one who is not a member of the APC. Ad hoc committee members cannot be members of same Primary Department as the candidate and must be at a higher rank than the candidate (except for Professor). Individuals serving on an Ad hoc committee are selected by the Chair of the APC and may be drawn from current faculty at the SOM.
- **Ad hoc committee review:** The completed application is distributed to the Ad hoc committee. It determines if there is enough information to assess the candidate for promotion. If not, the Ad hoc committee may request additional information through the Office of Faculty. It may request additional LORs from senior leaders in the candidate's field who may not have been identified by the candidate initially to assess the candidate's qualifications. These requests are made by the Office of Faculty, so that the identity and deliberations of the candidate's Ad hoc committee are kept confidential. The Office of Faculty may also contact the candidate to add to, or clarify, their Faculty Portfolio.
- **Ad hoc committee recommendation:** The Ad hoc committee is given 6 weeks to write an evaluation and recommendation (one page or less) regarding the candidate's appropriateness for promotion at the suggested rank. Either member of the Ad hoc committee will present the information at a subsequent APC meeting.

4. **Review by the full APC:** The candidate is presented to the full APC by a member of the Ad hoc committee. APC members of the Faculty Member's department, or those who have any other conflict of interest, *must recuse themselves* during discussion and voting. After discussion, the committee votes to recommend or decline to endorse the appointment or promotion. All deliberations are confidential and any member of the APC with a *conflict of interest* cannot return until after a vote is taken. A simple majority, with quorum of at least 9 voting members at the time of the vote, is required to recommend promotion. The APC Chair may vote in the circumstance of a tie. The Department Chair is informed of the recommendation regarding the Faculty Member's application for appointment or promotion by the Chair of the APC.

### 5. The APC appointment and rank recommendation:

- **The Dean and the Provost** review applications recommended by the APC for appointment, reappointment, promotion, or in case of an appeal.
- **If initial appointment, reappointment or promotion is approved by the Provost**, the candidate will receive a letter from the Dean informing the candidate of the decision.
- **The Chair** is informed of the APC's recommendation regarding initial, reappointment or promotion, and rank. Denial of an application for initial, reappointment or promotion can be appealed. If a promotion is denied by the APC, the Chair and Faculty Member can consider an appeal to the APC and ultimately, to the Dean.

### 6. Appeal of the APC decision:

- **Who makes the appeal?** If the appointment, reappointment or promotion is denied by the APC, the Faculty Member should discuss with their Department Chair whether to appeal this recommendation. If the Department Chair and candidate believe that the APC's recommendation is not justified, a request for an appeal may be made (described below). If the Department Chair does not believe an appeal of the APC recommendation should be pursued, the Faculty Member has the option of pursuing an appeal with support from the Chair of the APC.
- **What is the basis for the initial recommendation and appeal?** The Primary Department Chair will receive specific feedback from the Chair of the APC regarding the issues involved in the APC's recommendation. The issues often cited include:
  - i. Was the proposed rank appropriate? Were the regional, national or international reputations documented sufficiently?
  - ii. Does the candidate have any accomplishments, teaching responsibilities, scholarly contributions, and/or service activities that were not documented in the CV or Faculty Portfolio?
  - iii. Were appropriate referees chosen?
  - iv. Should any materials be revised or added?
  - v. Was evidence of independent scholarship presented?
  - vi. Was promotion proposed too soon?
  - vii. What else might the candidate need to do in the upcoming year or two to increase the likelihood of being promoted?
- **Appeals Process:** An appeal application must be submitted to the Office of Faculty *within two months* of the APC recommendation. This application must include a statement from their Department Chair (or the Chair of the APC, see above) as to why the decision to appeal is made and should be accompanied by materials and data to substantiate the appeal. The Department Chair (or designee) must appear before the APC and present the appeal to the APC and be excused from the room for the vote. Note that a designee must be at a rank higher than the rank of the applicant who is appealing the decision. Promotion for an appealed application will be recommended by the APC with a *simple* majority vote of the membership (assuming quorum). If the application for promotion is denied a second time, it cannot be appealed again to the APC.
- **Appeal to the Dean:** If an application for promotion is denied by the Dean after the promotion was initially supported by the APC, the decision of the Dean is appealable to the Provost. A decision by the Provost to deny a promotion is final and not subject to appeal.

**7. Reapplication for Promotion:** A candidate whose promotion is not approved must wait at least until the next academic year cycle to resubmit a promotions packet. The Chair must approve this resubmission. For candidates for the Associate Professor and Full Professor ranks whose promotion was not supported by the APC, it is essential that a reassessment of the faculty member's qualifications and adequacy of the promotions packet occur before resubmission during the next academic year. In most cases, it is advisable to wait two years before reconsideration to allow sufficient time for accumulating contributions, such as publications, grants or teaching experience, that were assessed to be lacking in the first submission. This reassessment may be done by the Chair of the department or the department promotions committee if applicable.

## 8. Secondary Appointments

- Ordinarily appointments are to a single department. Faculty who request a secondary appointment must designate which one is their Primary appointment. The request must be made through the website for the Office of Faculty. The application will then be forwarded to the Chair of both the Primary and Secondary departments for approval, at the same rank as the Primary Department.
- Approval letters written by the Chairs of the Primary and Secondary departments will be communicated to the Office of Faculty. It will then require approval by the Dean of the SOM and the Provost.

## Criteria for Appointments and Promotions

Faculty will be evaluated for academic appointment or promotion based on the intensity, achievements, and level of participation in a combination of the three categories of endeavors – **scholarship, teaching, and service** – as described below. The **metrics** used to identify appropriate rank follow in the next section. A faculty member's achievements and participation will be assessed using the Curriculum Vitae, Faculty Portfolio (for senior ranks), letters of reference (LOR, intramural and extramural), and Chair's letter.

**Scholarship**, for the purpose of advancement, is defined as the body of work focused on advancing knowledge, clinical skills, biomedical science, quality improvement and other academic activities. A faculty member must continue to demonstrate commitment to seeking answers to fundamental questions in their discipline. Peer-esteem is a measure of scholarly ability; early career scholars must have achieved a level of accomplishment that demonstrates substantial promise, whereas established scholars must be recognized as leaders in their disciplines nationally and internationally. It may be characterized by the following activities:

1. Investigation, research and study of basic, biomedical, clinical, quality, epidemiological, pedagogical and health systems-based sciences as a major focus (principal investigator, investigator-initiated; co-investigator, consultant, collaborator)
2. Scholarly mentoring activities, such as research, grant or manuscript review, advisement in study design, or general research advisement
3. Grant support as characterized by:
  - a. Extramural support such as federal agencies and departments, foundations, industry
  - b. Intramural grant support
  - c. Competitive peer-reviewed applications
  - d. Role and percentage effort
  - e. Level of support
  - f. Importance of subject and scope
  - g. Renewal of funding following initial round
4. Grant review committees and study sections (federal [NIH, etc.], foundations, institutional)
5. Leadership role in research studies including principal investigator, executive/steering committee, subcommittee chair, etc.
6. Regional, national, or international activity or recognition by extramural organizations such as academic institutions, professional societies, biomedical organizations. Examples include:
  - a. Awards and recognitions
  - b. Visiting professorships
  - c. Committee participation
  - d. Invited lectures and presentations
  - e. External advisory boards
7. Publication(s) related to primary focus (e.g. biomedical science, education, etc.) including peer-reviewed articles, monographs, book chapters and contributions to academic texts, reviews, invited editorials, and books, etc., in journals, publications, or internet-based materials (e.g. MEDED Portal etc.). Additional recognition will be given to first & senior authorships. Applicants are encouraged to provide the h index (the number of articles for which an author has been cited by others at least that same number of times; an *h-index* of 17 means that an author has published  $\geq 17$  papers that have each been cited  $\geq 17$  times).
8. Author or co-author of authoritative published statements (e.g. society guidelines, consensus statements)
9. Editorial leadership for academic textbooks or peer-reviewed journals (editor, associate editor, editorial board)
10. Participation in board certification test writing, preparation or society review materials by national organizations (e.g. ABIM, ABEM, etc.)

11. Participation in Institutional Review Board (IRB) Committees locally or regionally
12. Development of innovative scientific, clinical, health service, epidemiologic programs
13. Development of computer programs, surveys or evaluation instruments.

**Teaching** activities include actions to enhance the learning and performance of others, which in this context includes peers, trainees, students, inter-professional learners and the public. It may be characterized by the following activities:

1. Curricula, course syllabi (including educational objectives), web-based scientific and clinical teaching materials, cases or new instructional techniques developed and/or implemented for a course, clinical rotation (grant support and publication of these educational materials would fall under *scholarly criteria*)
2. Courses, case conferences (including written cases), professional education programs, web-based activities, videos, patient education materials, other educational materials, workshops, etc. authored, developed, participated, or implemented (content, type of learner, teaching method, frequency, contact hours, site)
3. Teaching/learning assessment tool development and implementation (course name, session(s) name and number, session title(s), content, type of learner, teaching method, etc.)
4. Course leader, co-leader, site leader, educator, mentor, lecturer, preceptor, teacher, facilitator, trainer (details needed of content, type of learner, teaching method, frequency, contact hours, site)
5. Administrative leadership or responsibility for educational programs or course development for peers (CME), trainees (including residents, fellows, postdoctoral fellows, etc.), students, interdisciplinary health care providers (nursing, rehabilitation therapists, etc.)
6. Teaching awards and recognitions, evaluations by learners and peers
7. Leadership or participation in biomedical education committees nationally, regionally, locally (medical school, hospital, clinic, community, etc.) (details needed of focus, role, hours of participation)
8. Mentoring of learners (may overlap with *scholarly activity criteria*) (list learners advised and/or mentored, projects worked, approximate time commitment - number of hours spent with each learner) with evidence of mentoring or precepting of learners (examples of written feedback, outcomes of mentoring, etc.)
9. Primary responsibility or participation in development of materials of educational value.

**Service** to the SOM entails the investment of time and effort appropriate to faculty expertise, knowledge, and professional judgment to perform tasks that are necessary for the function of the SOM to fulfill its mission and vision. All faculty members are expected to perform service according to their faculty rank in SOM activities, clinical and research settings, in the community and in regional, national and international professional organizations. The level of participation or involvement is similarly defined below for the categories of “service to the University, SOM or HMMH”; “service to the profession”; and “service to the community”, and increases by rank either by the products of these activities, time commitment and/or level of leadership.

In evaluating “service,” all such activities should be evaluated as a “body of work,” and be viewed in the context of the contribution level and impact in the area of activity.

1. **Service to the University, SOM or HMMH;** may include but is not limited to:
  - a. Leadership and participation in committees and task forces at the SOM, University, HMMH network, hospital, department, clinic, or program *related to the SOM mission*
  - b. Chair, Vice Chair, Division and/or Section Director of an Academic or Clinical
  - c. Department or Division at the SOM, HMMH or SHU
  - d. Mentoring SOM, HMMH or SHU faculty, staff, students or interdisciplinary faculty
  - e. Participation in program accreditations and outcomes (such as completion of applications, site visits)
  - f. Provision of training for SOM, HMMH and SHU and other interdisciplinary faculty and trainees
  - g. Service to students, residents, fellows and/or peers (e.g., serving as faculty moderator of a student activity or club, advising or mentoring individual learners or groups of learners)

- h. Collaboration and/or mentoring of faculty, trainees and staff in the SOM, HMH or SHU, extramurally, and/or within the larger community of medicine and society across disciplines
2. **Service to the profession**; may include, but is not limited to:
- a. Membership and offices held in local, national and international professional organizations
  - b. Consultant, advisory, or editorial service in an academic professional capacity to advance the academic mission of the SOM or medicine, in general. (This is usually defined by engagement in activities sponsored by academic journals, professional societies, academic and clinical organizations and committees, rather than with commercial entities)
  - c. Review of books/manuscripts for professional journals and publishing houses, and grant proposals for funding agencies
  - d. Development or summary of research, policy, or position papers for the general public or
    - a. targeted audiences
  - e. Service through clinical care, as demonstrated by an ongoing commitment to clinical excellence and peer recognition as an outstanding clinician
3. **Service to the community**; related to healthcare outreach may include but is not limited to:
- a. Provision of care to uninsured or underinsured members of the community Involvement and leadership in health-care related community groups
  - b. Public and professional service to the community such as guest presentation, judge or mentor in science fairs, judge or mentor in student presentations, etc.
  - c. Participation as a faculty liaison for student-initiated organizations related to the community (e.g. clinics in underserved populations)
  - d. Invitations to speak or participate in panel discussions to lay audiences
  - e. Membership on advisory boards or civic committees
  - f. Involvement for advancement of medical, research, or academic priorities in legislative bodies
  - g. Awards recognizing contributions to patient and community service and or public health. Engagement with elected officials on health care matters as SOM or HMH representative and service on governmental boards
  - h. Participation in community, political or charitable organizations
  - i. Engagement with secular and religious organizations on health care matters as SOM or HMH representative
  - j. Other engagement with non-governmental, governmental and/or religious organizations

## **Criteria Guidelines for Appointment or Promotion by Rank**

The following are guidelines for both the faculty and the School of Medicine leadership and committees to use in evaluating faculty candidates for appointment or promotion.

### **Appointment to Instructor** (six-year appointment)

Appointment requires a Master's degree or its equivalent in an appropriate field at the SOM or an HMH clinical facility, and evidence of potential for effective teaching either as attested by recommendations or by documented success in teaching.

### **Appointment or Promotion to Assistant Professor** (six-year appointment)

For an appointment, candidates should demonstrate a breadth of accomplishments in one or more of the criteria categories of scholarship, teaching, and service. Often, most activities are focused in one category with some activities in the remaining two. In rare exceptions, substantial accomplishments in less than three categories will suffice.

### **Requirements include:**

1. Curriculum vitae (using SOM format) indicating achievements in scholarship, teaching, and service. The minimum requirement is excellence in 1 area and strengths in the other 2.
2. Request 6 (3 extramural LORs or 3 intramural LORs). The first 3 received move the application forward for initial and reappointment) from midlevel or senior individuals in the candidate's discipline that address the quality of the applicant's contributions and provide evidence of ability and initial demonstrated activity in scholarship, teaching, and/or service. Table 1 in the Navigations document specifies the number of LORs required for initial, reappointment, and promotion for each faculty rank.
3. Eligibility for board certification in a primary specialty or subspecialty, as applicable, for initial appointment, and attainment and maintenance of active board certification in a primary specialty or subspecialty, as applicable, for reappointment. For late-career reappointments and/or in exceptional circumstances, and at the discretion of the Appointments and Promotions Committee (APC), board certification that has become inactive may be accepted.

**Guidelines include:**

**Scholarship:** evidence of scholarship (including research) or potential to conduct scholarship (including research) may include:

1. One or more original publications in peer-reviewed journals.
2. Invited publications such as book chapters, editorials, review articles or monographs
3. Presentations - oral or posters - at national symposia or conferences
4. Participation as an investigator in clinical trials, basic science, educational or clinical research projects

**Teaching:** evidence of teaching effectiveness or potential to teach effectively, such as:

1. Authorship of enduring teaching materials (teaching cases, curricula, syllabi or course/ clerkship design)
2. Very positive learner evaluations at HMM or SOM facilities
3. Formal mentorship of staff, students or residents, with significant level of responsibility

**Service:** evidence of meaningful service to institution, profession, and community, such as:

1. Membership in hospital, departmental, SOM departmental, or university committees
2. Membership in medical specialty organization, professional society or advocacy group
3. Participation in inter-professional and trans-institutional activities
4. Community service, e.g. guest presentations, judging or mentoring science fairs or student presentations
5. Engagement with other non-governmental, governmental and/or religious organizations in biomedical or health care related areas.

**Appointment or Promotion to Associate Professor** (six-year appointment)

In addition to the requirements for Assistant Professor, the rank of Associate Professor assumes a more extensive contribution to the academic mission than that of an Assistant Professor, not simply duration of service, and usually requires activity beyond the institution, at a regional or national level.

**Requirements include:**

1. Applicants for Associate Professor usually either hold this rank at the SOM or at another US-accredited (or perhaps internationally recognized) institution for at least 6 years.
2. Faculty Portfolio (SOM format) describing the focus of academic activities and providing samples.
3. 3 extramural and 3 intramural LORs from midlevel or senior individuals in the candidate's discipline that address the quality of the applicant's contributions and provide evidence of peer recognition for service, teaching and/or scholarly excellence, as applicable, at a regional and/or national level.
4. There is a 6-year minimum duration of service at any given rank before a Faculty Member may apply for promotion at the SOM. This service may be at the SOM or any U.S. academic institution or LCME accredited medical school before appointment at the SOM. Exceptions may be made on an individual basis.

5. It is desirable, but not mandatory, to demonstrate excellence in the 3 areas of scholarship, teaching, and service. It is expected that a candidate demonstrates excellence in one area and strengths in the other two.

#### **Guidelines include: Scholarship**

1. At least 5 original publications, preferably in high impact factor peer-reviewed journals, at least 3 of which were written/published since the last promotion.
2. Invited publications such as book chapters, editorials, monographs and/or review articles. First or senior authorships will receive additional recognition
3. Journal reviewing activities
4. National or regional recognition for investigational, research or teaching activities
5. Evidence of an active leadership? role in national professional and/or other related organizations
6. Grant support – ongoing, significant, ranking federal or foundations, and other, with significant percentage of time and activity, principal or independent investigator role or leadership in multisite studies

#### **Teaching**

1. Sustained and substantial contributions to departmental or SOM educational activities, such as curricular design, significant course content or learning process design, evaluation methodologies
2. Formal mentorship of SOM or other faculty, staff, students, trainees or residents (time, activity, process, outcomes)
3. Significant dedication to teaching in laboratory, classroom, community, clinic and hospital settings with very positive learner evaluations at HMM or SOM facilities
4. Recognition for teaching activities (awards, recognition intramurally and extramurally)
5. Leadership administrative roles in educational programs and committees (time and role)

#### **Service**

1. Division and/or Section Director of an Academic Department at SOM, HMM or SHU
2. Leadership in a medical specialty or professional organization or advocacy group
3. Membership in and documented contributions to scientific or professional activities, e.g. study sections, review panels, or professional or advocacy society committees
4. Editorial board member, associate editor
5. Official role in board examination process, e.g. test question author, examiner
6. Substantial participation in, or leadership of, extramural symposia or conferences
7. Documented participation in community or voluntary health organizations

#### **Appointment or Promotion to Professor** (six-year appointment)

In addition to the requirements for Associate Professor, the rank of Professor assumes a more extensive contribution to the academic mission than that of Associate Professor, not simply duration of service; this contribution usually indicates national or international recognition for academic contributions.

#### **Requirements include:**

1. Applicant usually has held the rank of Associate Professor for at least five years.
2. Faculty Portfolio (SOM format) describing the focus of academic activities and providing samples.
3. Four extramural and three intramural LORs from senior individuals in the candidate's discipline who address the quality of the applicant's contributions and provide evidence of peer recognition for clinical, teaching, and scholarly excellence, as applicable, at a national and/or international level. LORs from previous mentees/residents/students may only be included if this professional relationship ended at least 3 years before the LOR is written and if the applicant does not have current supervisory role towards the writer.

**Guidelines include: Scholarship**

1. 15 or more total original publications in high impact factor peer-reviewed journals, at least 6 of which are as first or senior author, and at least 5 of which have been written/published since the last promotion.
2. Invited publications such as book chapters, editorials, monographs, textbook editor, and/or review articles. First or senior authorships will receive additional recognition.
3. Leadership in scientific or professional activities such as study sections, review panels, editorial boards, or professional or advocacy society committees
4. Ongoing significant extramural grant or contract support and leadership in clinical trials, basic science, clinical and/or educational research projects
5. Leadership of extramural symposia or conferences

**Teaching**

1. Sustained and substantial contributions to departmental or SOM educational activities, such as curricular design, significant course content or learning process design, evaluation methodologies, and clerkship, residency or fellowship directorships
2. Formal mentorship of SOM or other faculty, staff, students, trainees or residents (time, activity, process, outcomes)
3. Significant dedication to teaching in laboratory, classroom, community, clinic and hospital settings with very positive learner evaluations at HMM or SOM facilities
4. Recognition for teaching activities (awards, recognition intramurally and extramurally)
5. Leadership administrative roles in educational programs and committees (time and role)

**Service**

1. Chair/Vice-Chair or Division/Section Director of an Academic Department at SOM, HMM, or SHU
2. Professional or advocacy society, governmental or scientific honors or awards for service, leadership or research
3. Documented leadership in departmental, SOM, or university committees
4. Journal editorial role or editor-in-chief
5. Documented leadership as faculty liaison for student-initiated organizations related to the health and welfare of the community or professional organizations
6. Documented leadership in community or voluntary health organizations
7. Documented leadership in inter-professional and trans-institutional activities